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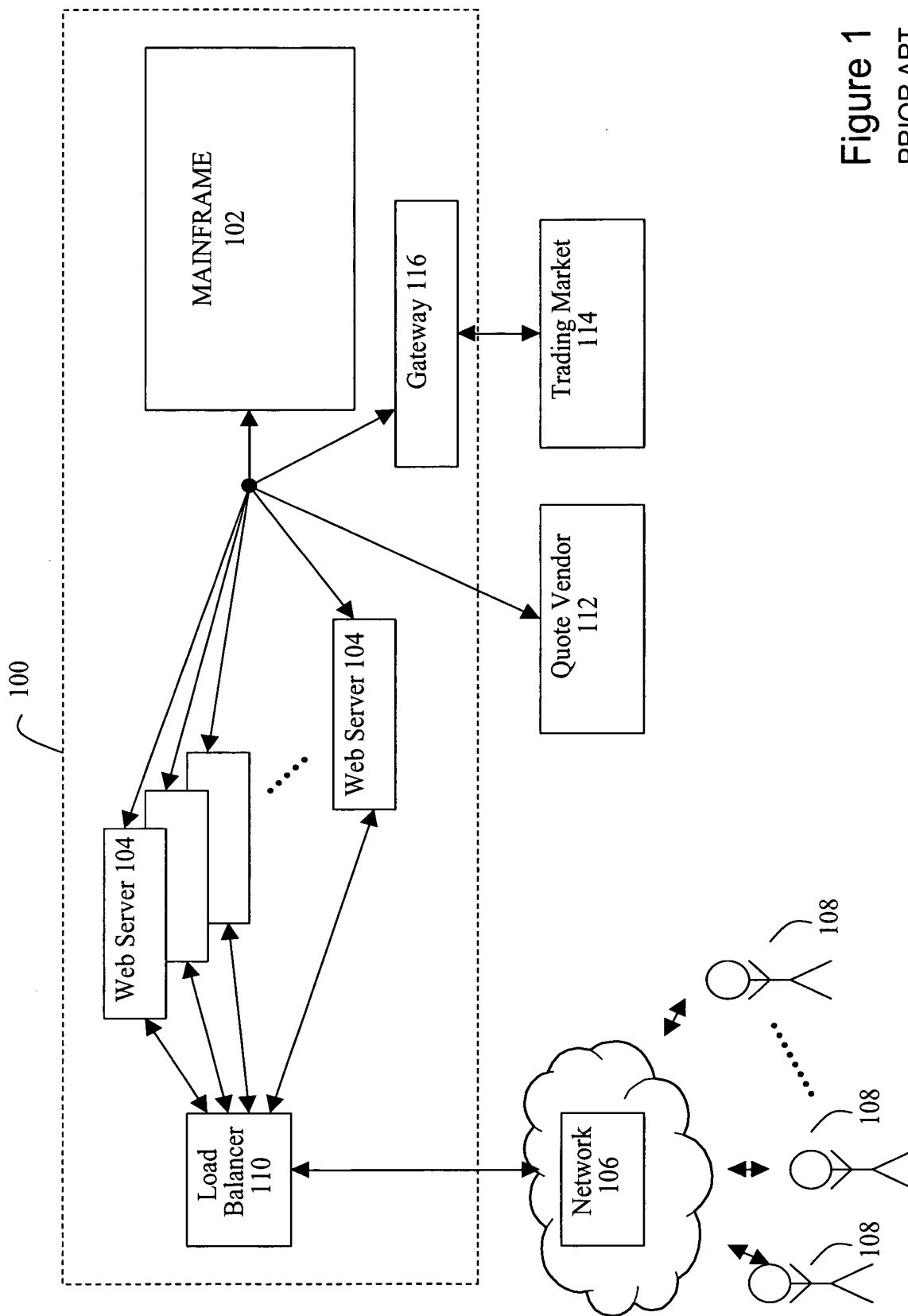
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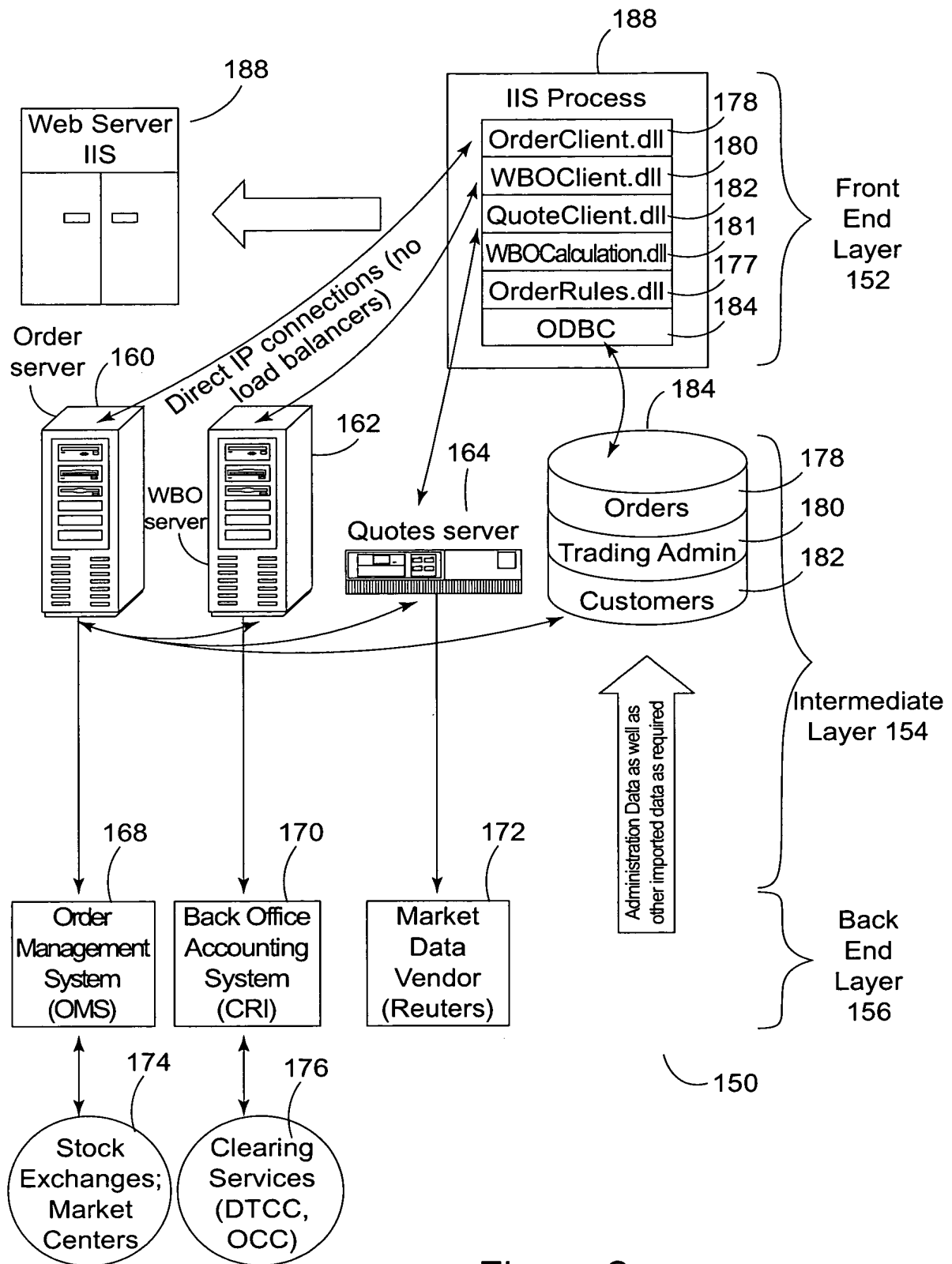


Figure 2

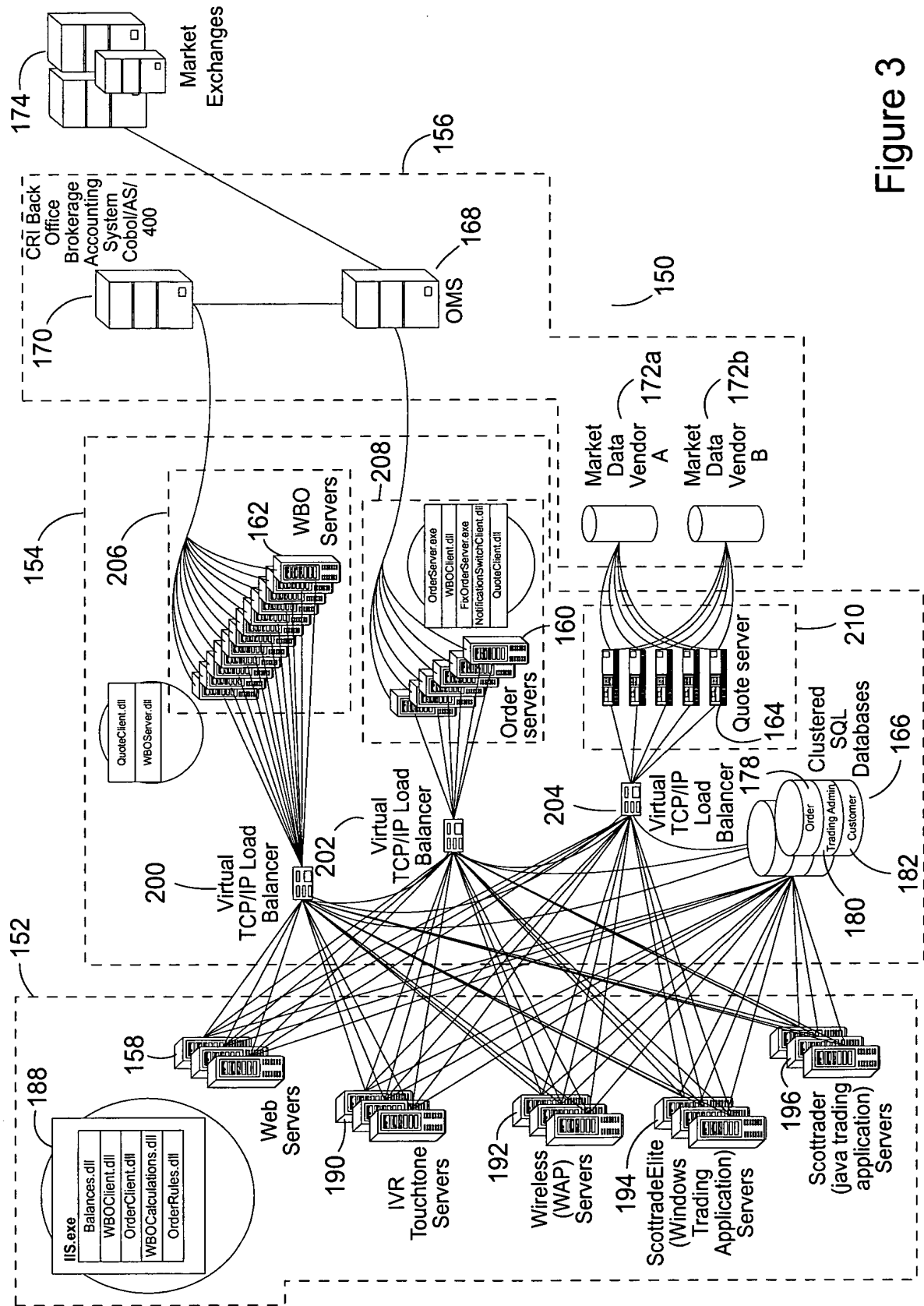


Figure 3

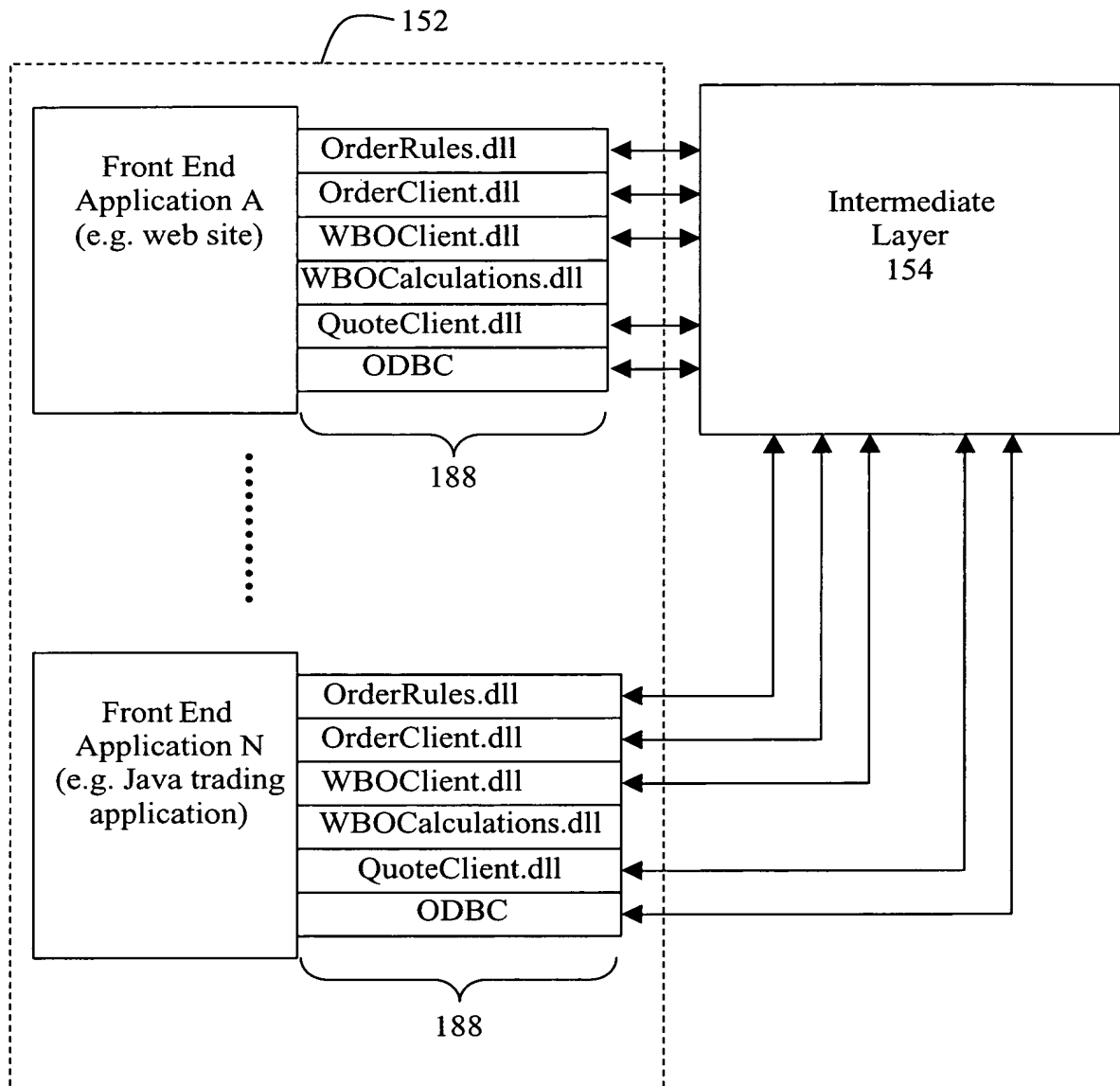


Figure 4

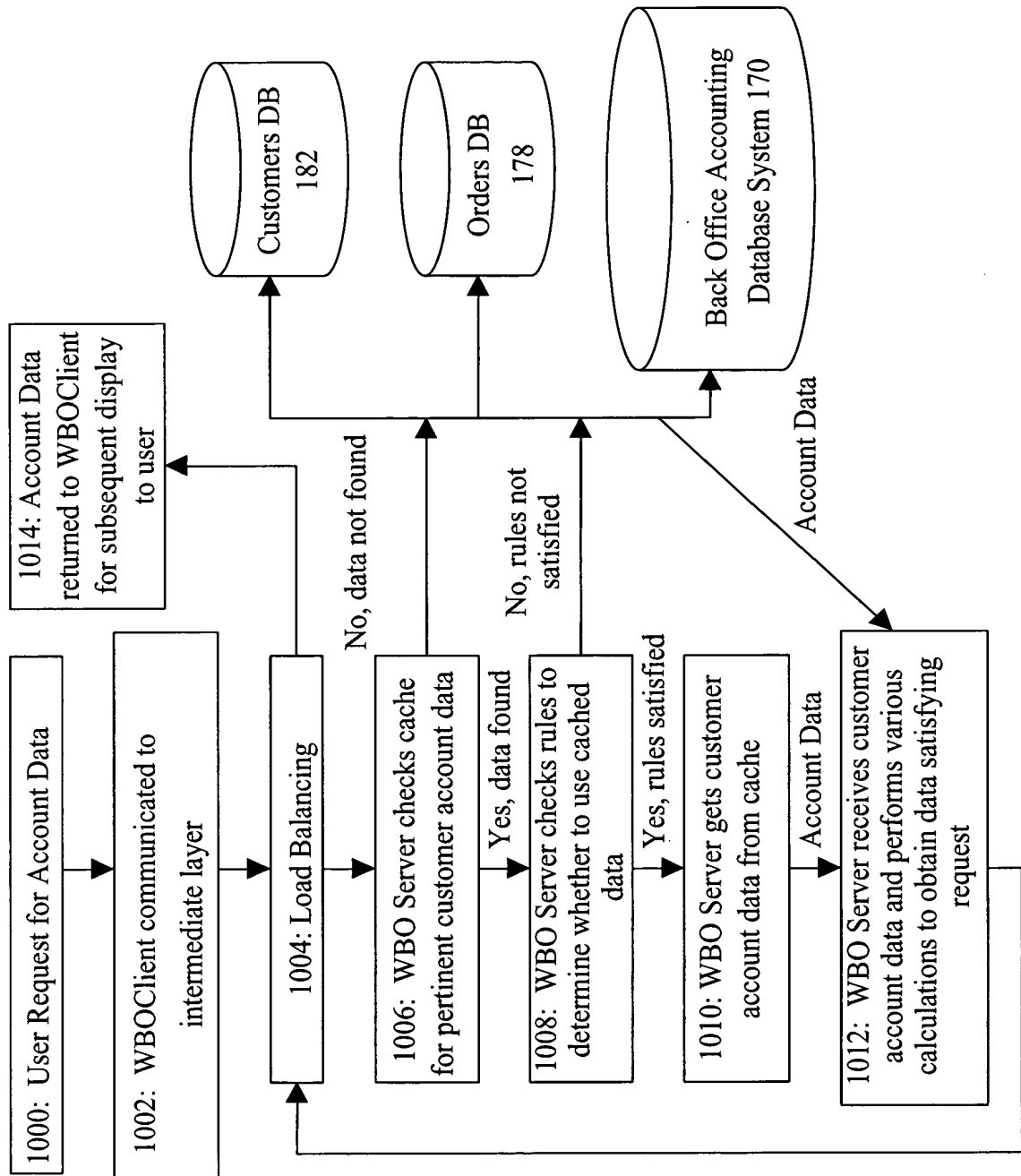


Figure 5

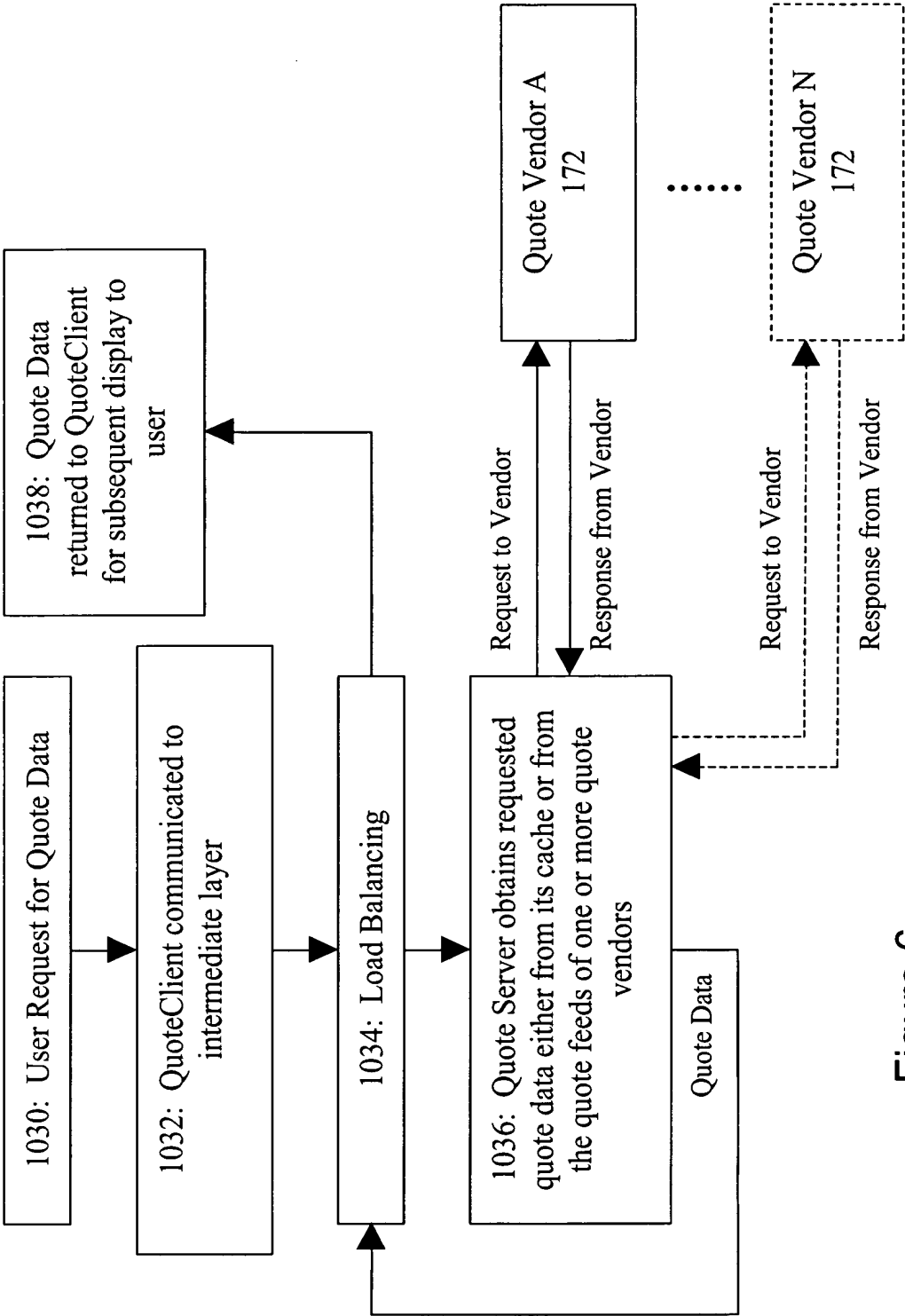


Figure 6

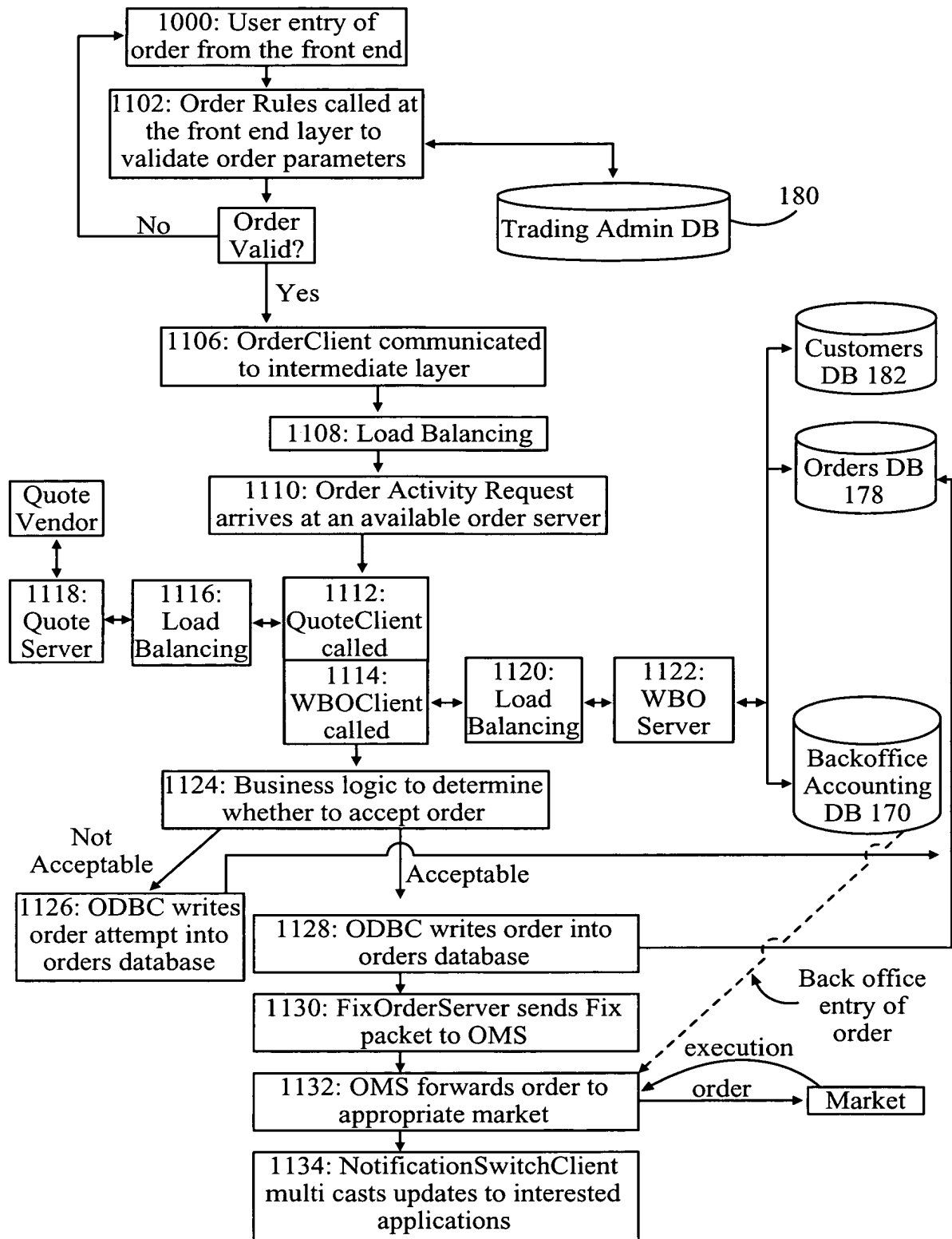


Figure 7


		<p>Account # 123xyz</p> <p> <input type="checkbox"/> First Step <input type="checkbox"/> Deposit Funds <input type="checkbox"/> echeck <input type="checkbox"/> Wireless </p>																										
<p>NEW FEATURES</p> <p> <input type="checkbox"/> New Corporate Offerings <input type="checkbox"/> Tutorial - Features of Scottrade <input type="checkbox"/> Introducing Scottrade Elite <input type="checkbox"/> NEW Scottrade Elite </p>		<p>CURRENT MARKETS</p> <p> <input type="checkbox"/> Scottrade <input type="checkbox"/> Streaming Quotes <input type="checkbox"/> Market Indices <input type="checkbox"/> Top Ten <input type="checkbox"/> Briefing.com <input type="checkbox"/> Change Accounts <input type="checkbox"/> Logout of Trading <input type="checkbox"/> Site Map </p>																										
<p>Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out</p>																												
<p>Welcome to Scottrade Financial Services</p> <p><input checked="" type="checkbox"/> New Messages Today</p>																												
<p>Real-Time Market Indices - October 13, 2003 4:17 PM EST U.S. Markets Closed</p> <table border="1"> <tr> <td>S&P 500</td> <td>DJIA</td> <td>NASDAQ</td> </tr> <tr> <td>1045.35 +7.29</td> <td>9764.38 +89.70</td> <td>1933.50 +18.20</td> </tr> </table>				S&P 500	DJIA	NASDAQ	1045.35 +7.29	9764.38 +89.70	1933.50 +18.20																			
S&P 500	DJIA	NASDAQ																										
1045.35 +7.29	9764.38 +89.70	1933.50 +18.20																										
<p>Today's Real-Time Executions</p> <p>None</p>																												
<p>Current Open Orders</p> <p>None</p>																												
<p>Real-Time Account Information</p> <table border="1"> <tr> <td>Portfolio Value as of Previous Close</td> <td>\$ 163.08</td> <td>Help</td> </tr> <tr> <td>Current Net Balance (Cash + Unsettled Funds)</td> <td>\$ 304.82</td> <td>Help</td> </tr> <tr> <td>Total Account Value</td> <td>\$467.90</td> <td>Help</td> </tr> </table>				Portfolio Value as of Previous Close	\$ 163.08	Help	Current Net Balance (Cash + Unsettled Funds)	\$ 304.82	Help	Total Account Value	\$467.90	Help																
Portfolio Value as of Previous Close	\$ 163.08	Help																										
Current Net Balance (Cash + Unsettled Funds)	\$ 304.82	Help																										
Total Account Value	\$467.90	Help																										
<p>Trading Cash</p> <table border="1"> <tr> <td>Cash / Settled Funds</td> <td>\$ 304.82</td> <td>Help</td> </tr> <tr> <td>Unsettled Funds</td> <td>\$ 0.00</td> <td>Help</td> </tr> <tr> <td>Current Net Balance</td> <td>\$ 304.82</td> <td>Help</td> </tr> <tr> <td>Trading Cash</td> <td>\$304.82</td> <td>Help</td> </tr> </table> <p>*This account is not Restricted</p>				Cash / Settled Funds	\$ 304.82	Help	Unsettled Funds	\$ 0.00	Help	Current Net Balance	\$ 304.82	Help	Trading Cash	\$304.82	Help													
Cash / Settled Funds	\$ 304.82	Help																										
Unsettled Funds	\$ 0.00	Help																										
Current Net Balance	\$ 304.82	Help																										
Trading Cash	\$304.82	Help																										
<p>Real-Time Positions</p> <table border="1"> <tr> <th>Symbol</th> <th>Qty</th> <th>Acct Type</th> <th>Quote</th> <th>Value</th> </tr> <tr> <td>CSCO</td> <td>5</td> <td>CASH</td> <td>21.00</td> <td>105.00</td> </tr> <tr> <td>MSFT</td> <td>2</td> <td>CASH</td> <td>28.78</td> <td>57.56</td> </tr> <tr> <td>SOXS</td> <td>1</td> <td>CASH</td> <td>1.27</td> <td>1.27</td> </tr> <tr> <td colspan="4">Total Market Value</td> <td>\$163.83</td> </tr> </table>				Symbol	Qty	Acct Type	Quote	Value	CSCO	5	CASH	21.00	105.00	MSFT	2	CASH	28.78	57.56	SOXS	1	CASH	1.27	1.27	Total Market Value				\$163.83
Symbol	Qty	Acct Type	Quote	Value																								
CSCO	5	CASH	21.00	105.00																								
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Total Market Value				\$163.83																								
<p>Symbol: <input type="text"/></p>		<p>Detailed Quote</p>																										
<p>Quick Links</p>		<p>Help</p>																										

Figure 8a

Home

Trading

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Account # 123xyz

☐ First Step
☐ Deposit Funds
 echeck
☐ Wireless

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☐ Introducing Scottrade Elite
☐ NEW ScottradeElite

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☐ Scottrade
☐ Streaming Quotes
☐ Market Indices
☐ Top Ten
☐ Briefing.com
☐ Change Accounts
☐ Logout of Trading
☐ Site Map

Current Trade Balances

October 13, 2003

Description	Value	Help
Portfolio Value as of Previous Close	\$163.08	Help
Current Net Balance	\$304.82	Help
Total Account Value	\$467.90	Help

Cash / Settled Funds

\$304.82

[Help](#)

Today's Settled Funds

\$304.82

[Help](#)

***Unsettled Stock Sells

\$0.00

[Help](#)

***Unsettled Option Sells

\$0.00

[Help](#)

***Unsettled Other Sells

\$0.00

[Help](#)

***Unsettled Total Sells

\$0.00

[Help](#)

Unsettled Total Buys

\$0.00

[Help](#)

Current Net Balance

\$304.82

[Help](#)

Trading Cash

\$15.00

[Help](#)

***Trading Cash

\$289.82

[Help](#)

***Trading Cash for Fixed Income/Mutual Funds Purchases

\$289.82

[Help](#)

*** Click the Helps for information on how you are able to use these funds for Buys.
Today's Trades - You can see settlement dates for your trades today by clicking on Today's Real-Time Executions found on your Home page.
Previous Trades - You can see settlement dates for past trades by going to Account Information and then to your Trade History.

Symbol:

Detailed Quote

[Quick Links](#)

Figure 8b

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Account # 123xyz

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Current Open Orders & Real-Time Executions

Current Open Orders

MOD	CXL	Action	Qty	Symbol	Price	Acct Type	T.I.F.	Qualifiers	Order	Status	Session
MOD	CXL	SELL	2	MSFT	Limit 40.00	CASH	DAY	None	XIA242520031013	QUEUED	Regular
MOD	CXL	SELL	1	RTRSY	Limit 15.00	CASH	DAY	None	XAB736120031013	QUEUED	Regular

Help

Today's Real-Time Executions

None

Help

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Symbol:

Detailed Quote

Quick Links

Figure 8c

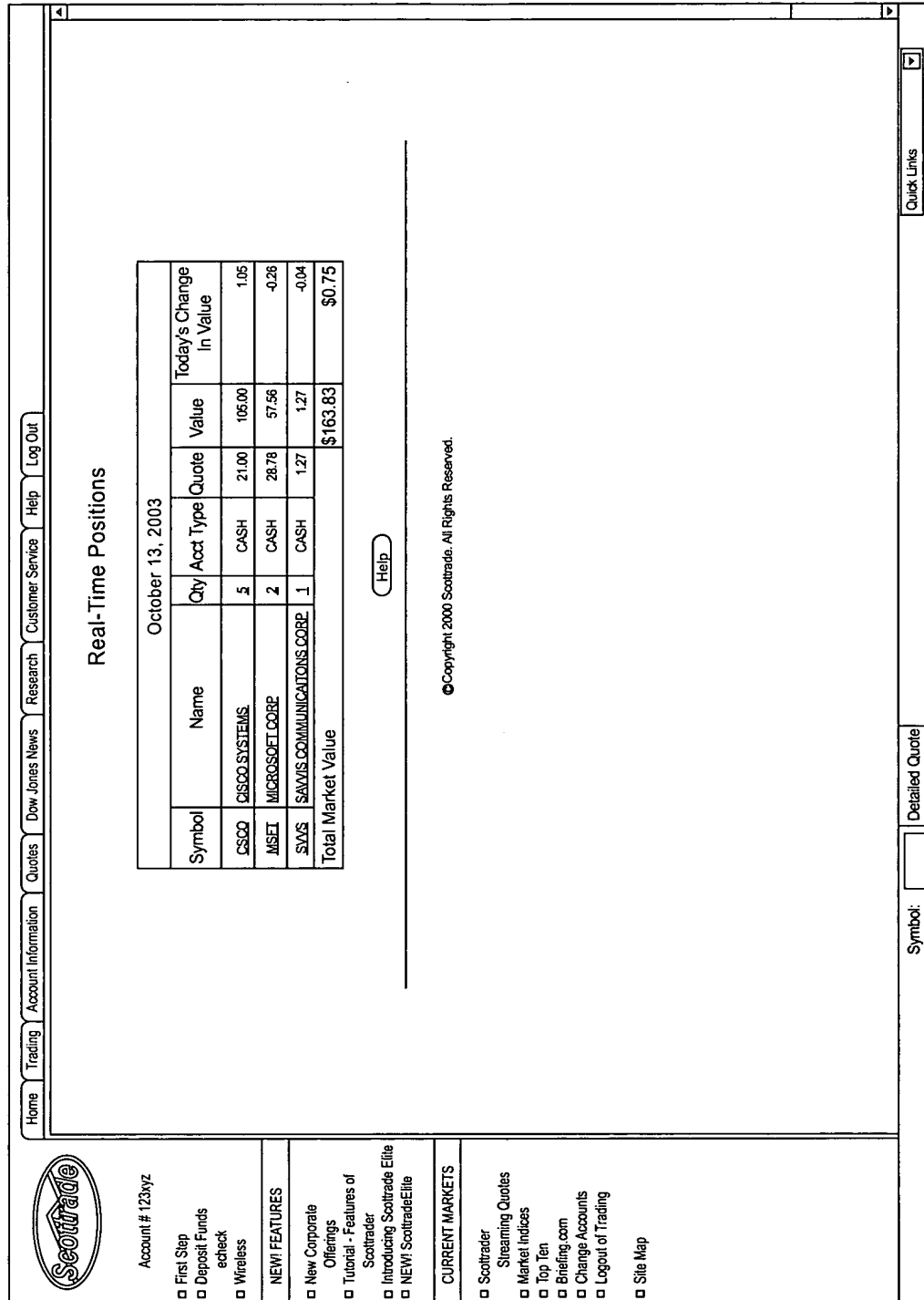


Figure 8d

Home

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Scottrade

Account # 123xyz

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☐ Top Ten

☐ Briefing.com

☐ Change Accounts

☐ Logout of Trading

☐ Site Map

Equity Order Entry

Market Side:

Buy

Help

Quantity:

1

Help

Symbol:

GE

Help

Order Type:

Market

Help

Limit Price:

Help

Stop Price:

Help

Time in Force:

Day Order

Help

Qualifiers:

☐ All or None

Help

Trading Period:

Regular Hours

Help

Get Quote

Confirm

Abandon

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Symbol

Detailed Quote

Quick Links

Figure 8e


		<p>Account # 123xyz</p> <p><input type="checkbox"/> First Step <input type="checkbox"/> Deposit Funds <input type="checkbox"/> echeck <input type="checkbox"/> Wireless</p>																	
<p>NEW FEATURES</p> <p><input type="checkbox"/> New Corporate Offerings <input type="checkbox"/> Tutorial - Features of Scottrade <input type="checkbox"/> Introducing Scottrade Elite <input type="checkbox"/> NEW ScottradeElite</p>		<p>CURRENT MARKETS</p> <p><input type="checkbox"/> Scottrade <input type="checkbox"/> Streaming Quotes <input type="checkbox"/> Market Indices <input type="checkbox"/> Top Ten <input type="checkbox"/> Briefing.com <input type="checkbox"/> Change Accounts <input type="checkbox"/> Logout of Trading <input type="checkbox"/> Site Map</p>																	
<p>Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out</p>		<p>Quick Links</p>																	
<p>Your order has been entered subject to broker approval.</p> <table><tr><td>Market Side:</td><td>Buy</td></tr><tr><td>Quantity:</td><td>1</td></tr><tr><td>Symbol:</td><td>GE</td></tr><tr><td>Price</td><td>At the Market</td></tr><tr><td>Time In Force:</td><td>Day Order</td></tr><tr><td>Estimated Commission:</td><td>\$7.00</td></tr><tr><td>Account Number:</td><td>123xyz</td></tr><tr><td>Account Type:</td><td>CASH</td></tr></table> <p>Your reference number is: XXB328920031013</p> <p>Any order entered after market close is good for the next business day.</p> <p><input type="button" value="Help"/> <input type="button" value="OK"/></p> <p>©Copyright 2000 Scottrade. All Rights Reserved.</p>				Market Side:	Buy	Quantity:	1	Symbol:	GE	Price	At the Market	Time In Force:	Day Order	Estimated Commission:	\$7.00	Account Number:	123xyz	Account Type:	CASH
Market Side:	Buy																		
Quantity:	1																		
Symbol:	GE																		
Price	At the Market																		
Time In Force:	Day Order																		
Estimated Commission:	\$7.00																		
Account Number:	123xyz																		
Account Type:	CASH																		
<p>Symbol: <input type="text"/></p>		<p>Detailed Quote</p>																	

Figure 8g

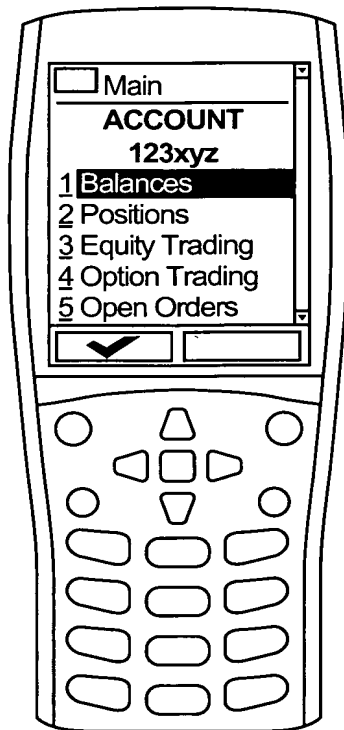


Figure 9(a)

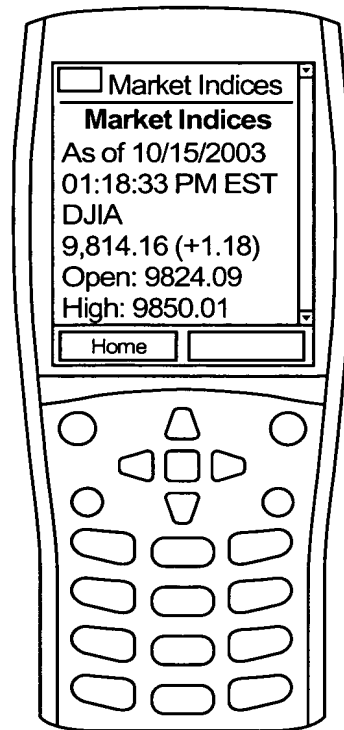


Figure 9(b)

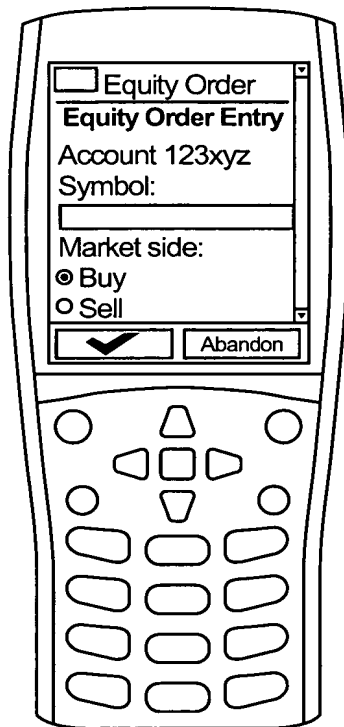


Figure 9(c)

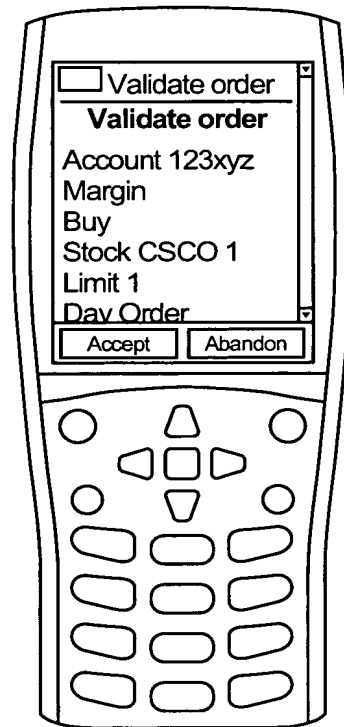


Figure 9(d)



Figure 9(e)

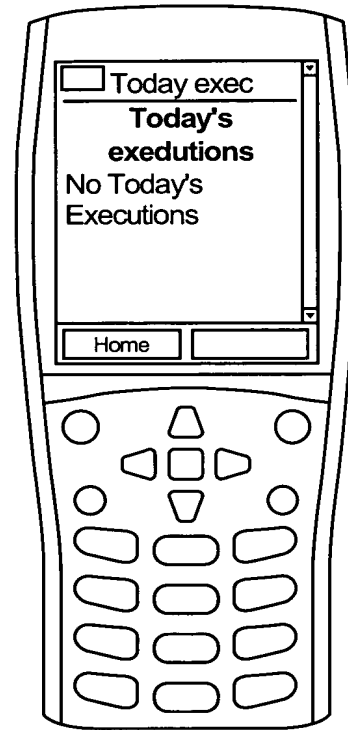


Figure 9(f)

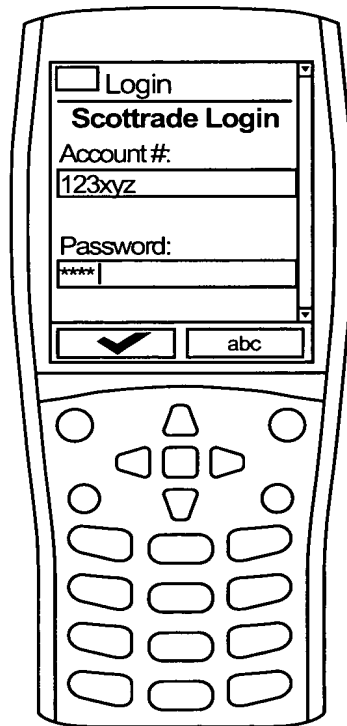


Figure 9(g)

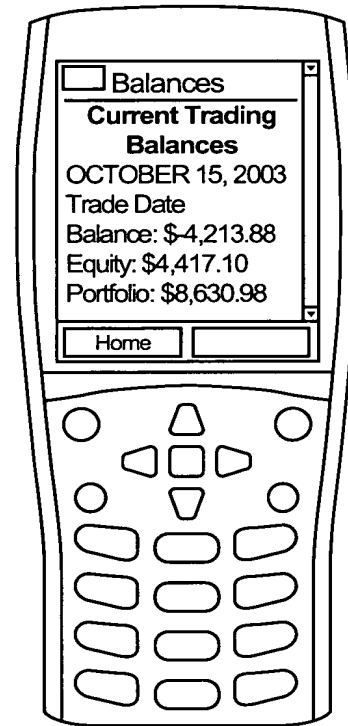


Figure 9(h)

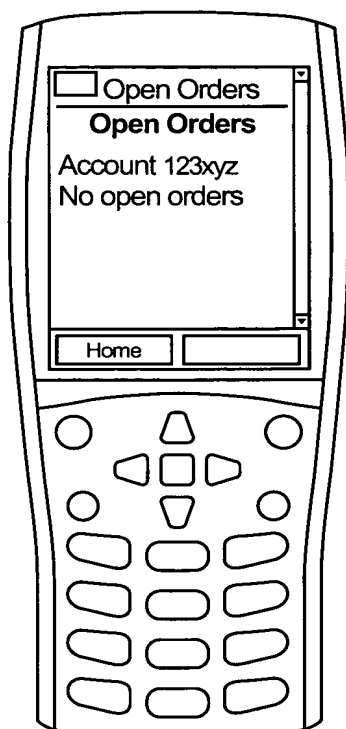


Figure 9(i)

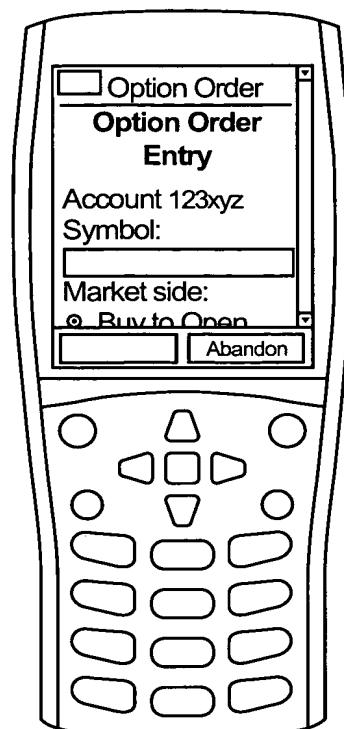


Figure 9(j)

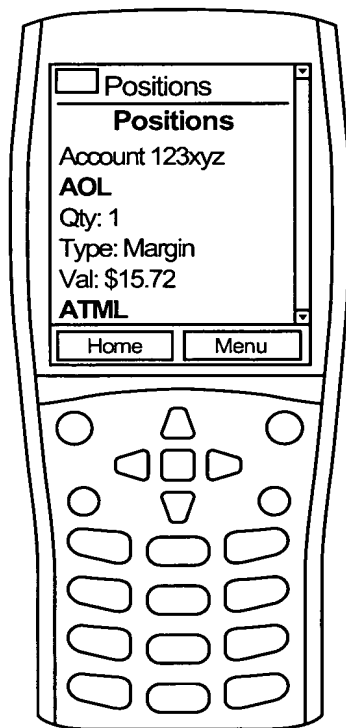


Figure 9(k)

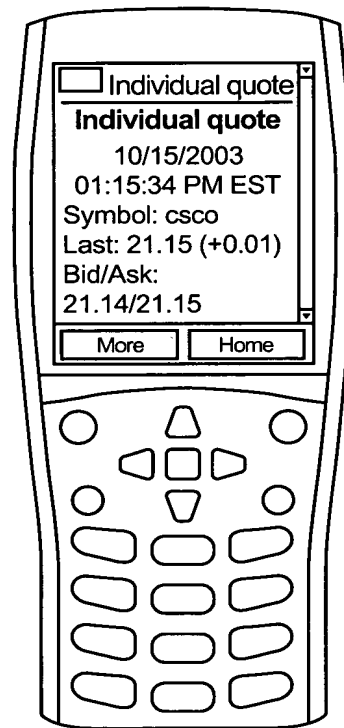


Figure 9(l)

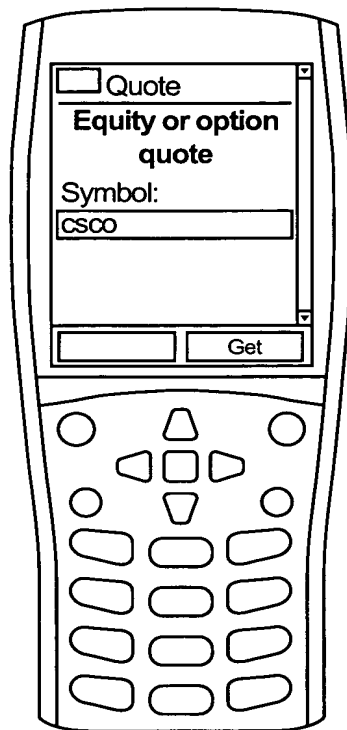


Figure 9(m)



Figure 9(n)

ScottradeELITE v1.0 - Build 56. Email issues/questions or suggestions to eliteSupport@Scottrade.com

Wizards System Market Data Trading Windows Help

Layout Mgr ▾ Help Quotes ▾ Chart ▾ Level II ▾ Full Quote ▾ Time&Sales ▾ News ▾ Option Chain ▾ Top Performers ▾ Highs&Lows

Order Entry ▾ Trading Log ▾ Balances ▾ Positions ▾ Executions ▾ Open Orders ▾ Market Research ▾ Symbol Lookup ▾ Alerts

Order Entry

Symbol: RTRSY Quantity: 1 Limit Price: 15 Stop Price: 15 Order Type: Limit Route: Auto Dest ID: 123xyz Account: 123xyz

Buy Buy to Cover Sell Sell Short Quick Cancel Last: 24.46 Bid: 21.85 Ask: 24.45 Buying Power 289.82

Order confirmed: #XAB736120031013

Open Orders for 123xyz[2]

Symbol	Action	Quantity	Limit...	Stop...	Tif	Status	RefNumber
MSFT	Sell	2	40.00	0.00	Day	Sent	XIA2425200310...
RTRSY	Buy	1	15.00	0.00	Day	Sent	XAB736120031...

Cxl Order Cxl Same Symbols Cxl All Orders Mod

Executions

Symbol	Action	Quantity	Executi...	Accou...
123xyz				

Settings

FullQuote: \$DJIB - DJ Industrial Average

Go	Linker	Templates	Settings
\$DJIB	89.70	n/a	
Bid	Ask	Last	High
0.00	0.00	9764.3	9783.4
		9675.5	1662233

FullQuote: \$COMPQ - NASDAQ COMPOSITE

Go	Linker	Templates	Settings
\$COMPQ	18.20	n/a	
Bid	Ask	Last	High
0.00	0.00	1933.5	1941.0
		1922.0	0

FullQuote: \$SPXC - S&P 500 INDEX

Go	Linker	Templates	Settings
\$SPXC	7.29	n/a	
Bid	Ask	Last	High
1044.90	1045.52	1045.3	1048.9
		1038.0	0

Account balances

123xyz	Settings
Portfolio Value as of Previous Close	163.08
Current Net Balance	304.82
Total Account Value	467.90
Unsettled Sale Proceeds	0.00
Trading Cash	289.82

Positions for 123xyz[3]

123xyz	Settings						
Symbol	Quan...	AvgP...	Last	\$Cha...	\$Chg...	\$ P&L	%P&L
CSCO	5	9.0000	21.00	12.0000	12.0000	60.00	133.33
MSFT	2	45.0000	28.78	-0.18	-16.22	-32.44	-36.04
SWWS	1	0.0000	1.27	-0.04	0.0000	0.00	0.00

Unrealized P&L \$: 27.56
Market value \$: 163.83

Elite Sample Active Trader Layout Elite Sample Basic Market View Layout Elite Sample Full Quotes Layout Elite Sample Layout #1 Elite Sample Layout #2 Elite Sample Layout #3 Elite Sample Linker L 1 >

Aut: 123xyz OpenPros: 3 OpenOrders: 2 BP: \$289.82 CommLink: 0.03 KB/s 17:12:24 EST

Figure 10

Scotttrader v3.1 Email support: scotttrader@scotttrade.com

Account [123xyz] Symbols [9/20] QuickQuotes [0/5] Top Ten [0]

Help

Market Summary 17:44:45
\$DJI 9764.38 +88.70
\$COMP 1933.5 +18.20
\$SPX 1045.35 +7.29

QuickQuote
Dow Jones News
Settings

Chart
Top Ten
Save Layout

Stock Lists
MarketMovers
Order Entry

Selected list: None
NonMargin Cash: 260.88 Positions: 3 Open orders: 3 Refresh

Market At Glance = ☐ = Stock Research = ☐ = Mutual Fund Research = ☐ = Research Tools = ☐ = Customer Service = ☐

Trading	Symbol	Last	\$Change	Bid	Ask	High	Low	Last Ticks	Volume	DataSource	Time	PrevClose	%Change
Buy Sell	MSFT	28.78	-13	+28.73	28.77	29.10	28.50		39,329,997	Composite	16:03:00	28.91	-45%
Buy Sell	CSCO	21.00	+21	-20.97	20.99	21.09	20.86		36,970,298	Composite	17:44:38	20.79	+1.01%
Buy Sell	NITE	13.97	+53	-14.00	14.13	14.00	13.41		1,276,756	Composite	16:03:00	13.44	+3.94%
Buy Sell	SVVS	1.27	-04	+1.23	1.36	1.37	1.21		218,365	Composite	16:03:00	1.31	-3.05%
Buy Sell	HYPR	4.66	-11	+4.29	4.82	4.7	4.55		1,100	Composite	16:03:00	4.55	+2.42%
Buy Sell	IBM	93.20	+53	+93.10	93.25	93.54	92.58		4,639,200	Composite	16:03:00	92.67	+57%
Buy Sell	KO	44.14	+31	-44.11	44.58	44.25	43.82		3,420,200	Composite	16:02:00	43.83	+7.1%
Buy Sell	VMT	58.95	+53	-58.55	59.23	59.19	58.43		4,566,200	Composite	17:44:31	58.42	+91%
Buy Sell	EMC	14.45	-04	-14.43	14.45	14.66	14.30		11,818,600	Composite	16:01:00	14.49	-28%

Drag and drop a symbol over any icon or chart, QuickQuote or trading window and release for quicker access.

Warning: Applet Window

Current Real-Time Positions

Reload	Order Entry	Qty	LastPrice	Change	Executions	Balances	?
AcctType	Symbol	Qty	LastPrice	Change	Net Value		
Cash	CSCO	5	21.00	21	105.00	Sell	
Cash	MSFT	2	28.78	-13	57.56	Sell	
Cash	SVVS	1	1.27	-04	1.27	Sell	

Warning: Applet Window

Current Real-Time Balances

Reload	Order Entry	Positions	Orders	Executions	?			
Account Type	Symbol	Action	Qty	Limit	Stop	Tif	Status	
Cash	GE	Buy	1	None	None	Day	Queued	CXL MOd
Cash	RTRSY	Buy	1	15.0	None	Day	Queued	CXL MOd
Cash	MSFT	Sell	2	40.0	None	Day	Queued	CXL MOd

Today's Real-Time Executions

Reload	Order Entry	Positions	Orders	Balances	?
Symbol	Action	Quantity	\$Price	\$Total	AcctType

Warning: Applet Window

Current Open Orders

Reload	Order Entry	Positions	Executions	Balances	?			
Account Type	Symbol	Action	Qty	Limit	Stop	Tif	Status	
Cash	GE	Buy	1	None	None	Day	Queued	CXL MOd
Cash	RTRSY	Buy	1	15.0	None	Day	Queued	CXL MOd
Cash	MSFT	Sell	2	40.0	None	Day	Queued	CXL MOd

Today's Real-Time Executions

Reload	Order Entry	Positions	Orders	Balances	?
Symbol	Action	Quantity	\$Price	\$Total	AcctType

Warning: Applet Window

Current Real-Time Balances

Reload	Order Entry	Positions	Orders	Executions	Value
Portfolio Value as of Previous Close					163.08
Current Net Balance					304.82
Total Account Value					467.9
Unsettled Sale Proceeds					0.0
Trading Cash					260.88

Warning: Applet Window

Trading (jdoe) Admin

☐ Indiv

☐ Group

Approval Queue

Symbol Admin

Option Admin

Trading control

History

Symbol Admin

Equity Symbol (Not Option):

Route	<input type="text" value="Normal"/> <input type="button" value="v"/>
Buy:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Sell:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Sell Short:	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="button" value="Inventory Check Required"/> <input type="button" value="v"/>
Buy to Cover:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Buy to Open:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Buy to Close:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Sell to Open:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Sell to Close:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Extended H ours Trading:	<input type="radio"/> Yes <input checked="" type="radio"/> No
Option Chain Allowed:	<input checked="" type="radio"/> Yes <input type="radio"/> No
Min Lot Size:	<input type="text" value="1"/>
Margin Requirement:	<input type="text" value="50"/> %
Add Disallowed Option Root or Symbol:	<input type="text"/> <input type="button" value="Type"/> <input type="button" value="v"/>

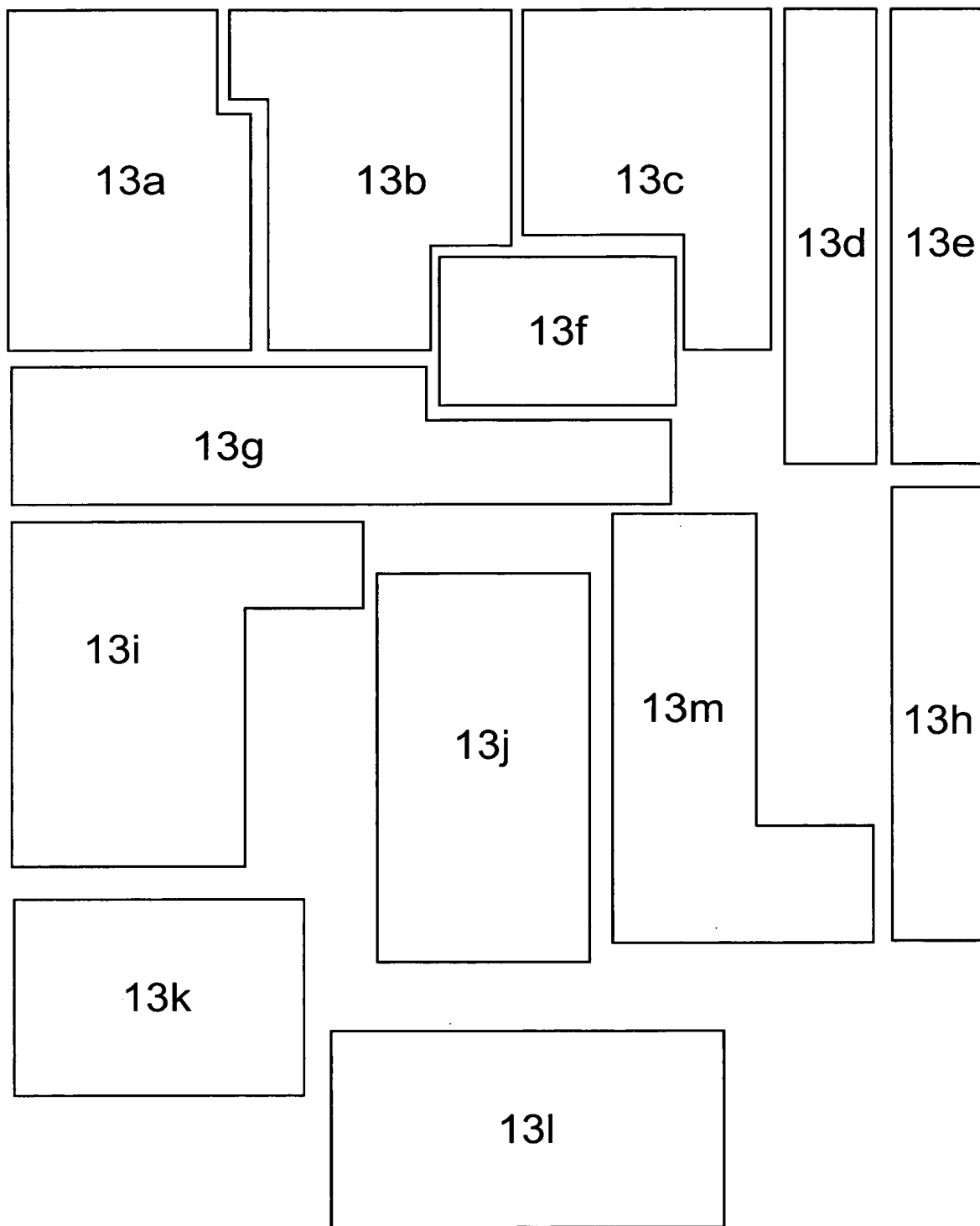
Figure 12a

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☐ Indiv ☐ Group ☐ Approval Queue Symbol Admin Option Admin Trading control History

Disallowed Options			
#	Option Symbol	Option Symbol Type	Underlying Security
1	.AAM	Root	<u>Delete</u>
2	.AAY	Root	<u>Delete</u>
3	.AFU	Root	<u>Delete</u>
4	.AGK	Root	<u>Delete</u>
5	.AHY	Root	<u>Delete</u>
6	.AIE	Root	<u>Delete</u>
7	.AIX	Root	<u>Delete</u>
8	.AKA	Root	<u>Delete</u>
9	.ANO	Root	<u>Delete</u>
10	.AOP	Root	<u>Delete</u>
11	.AOV	Root	<u>Delete</u>
12	.AUB	Root	<u>Delete</u>
13	.AUE	Root	<u>Delete</u>
14	.AYP	Root	<u>Delete</u>

Figure 12b



Customers DB

Figure 13

tbl_day_trader_report	
account	varchar(12)
office_id	varchar(4)
Trades	int
Trade_begin_date	smalldatetime
Trade_end_date	smalldatetime
Report_date	smalldatetime
account_value	money
value_date	smalldatetime
Posted_date	smalldatetime

tbl_day_trader_log	
account	varchar(10)
updated	smalldatetime

fix	
account	char(8)
office_code	char(3)
password	varchar(10)
email	varchar(100)
ssn	char(9)
notification_method	tinyint
web_access	bit
web_trading	bit
sell_only	bit
invalid_email	bit
statements_online	bit
session_timeout	int
login_fails	int
last_access	datetime
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
activation_date	smalldatetime
activated_by	varchar(6)
ivr_pin	varchar(4)
day_trader	bit
ivr_lockout	bit
last_updated	datetime
voice_callback	char(12)
agreement_status	char(4)

customers_without_password_ 20021111	
account	char(8)
office_code	char(3)
password	varchar(10)
email	varchar(100)
ssn	char(9)
notification_method	tinyint
web_access	bit
web_trading	bit
sell_only	bit
invalid_email	bit
statements_online	bit
session_timeout	int
login_fails	int
last_accaccess	datetime
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
activation_date	smalldatetime
activated_by	varchar(6)
ivr_pin	varchar(4)
day_trader	bit
ivr_lockout	bit
last_updated	datetime
voice_callback	varchar(12)
agreement_status	char(4)
deactivation_datetime	datetime
deactivation_reason_id	smallint

Figure 13a

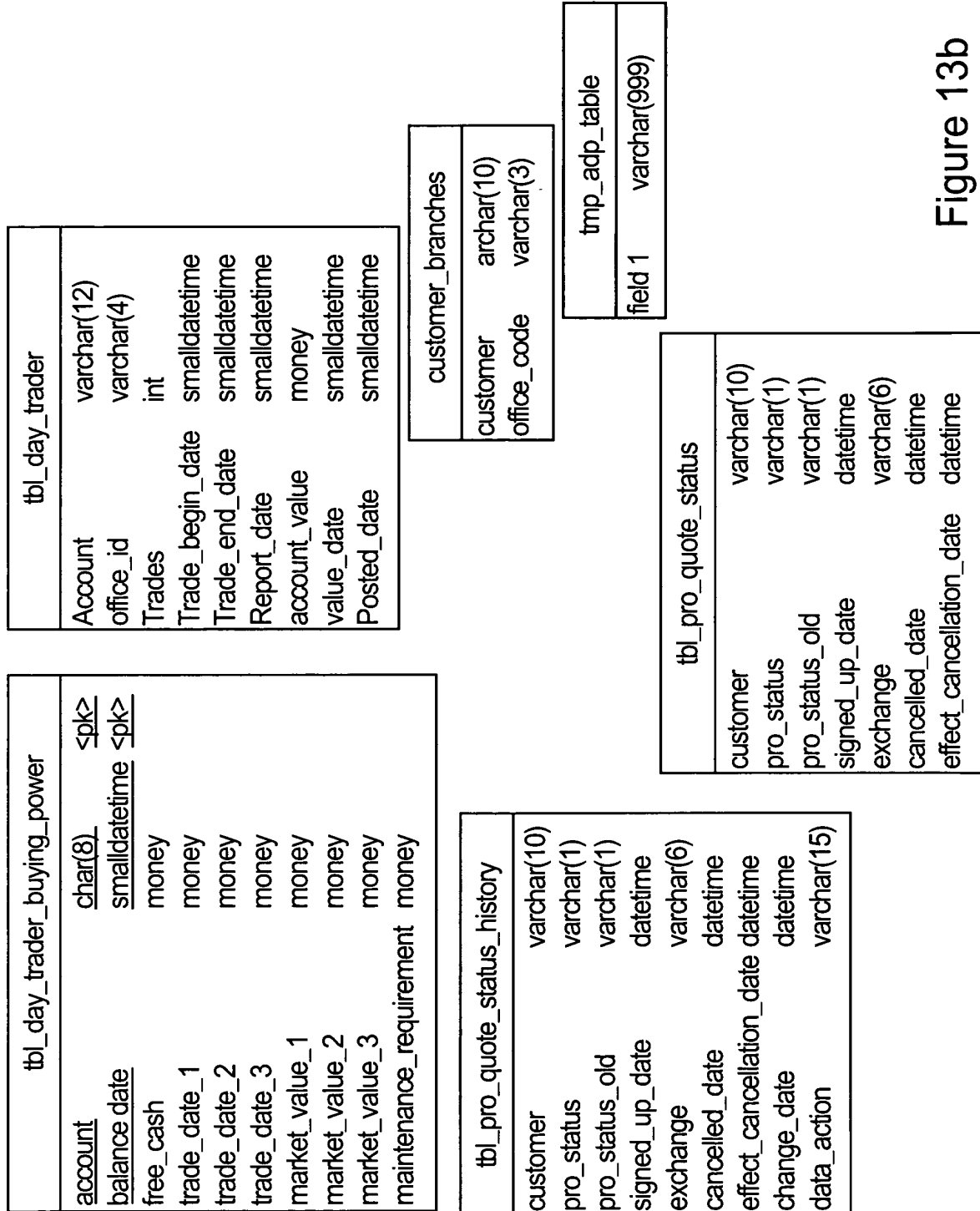


Figure 13b

tbl_user	tbl_proxy_status_change	tbl_customer636																																																																																																												
<table> <tr> <td>account parent</td><td>char(8)</td><td><pk></td></tr> <tr> <td>account child</td><td>char(8)</td><td><pk></td></tr> <tr> <td>display_name</td><td>varchar(25)</td><td></td></tr> <tr> <td>last_modified_datetime</td><td>datetime</td><td></td></tr> </table>	account parent	char(8)	<pk>	account child	char(8)	<pk>	display_name	varchar(25)		last_modified_datetime	datetime		<table> <tr> <td>account</td><td>char(8)</td><td></td></tr> <tr> <td>change_datetime</td><td>datetime</td><td></td></tr> <tr> <td>old_proxy_access_pin</td><td>char(4)</td><td></td></tr> <tr> <td>old_proxy_delivery_status</td><td>tinyint</td><td></td></tr> <tr> <td>new_proxy_access_pin</td><td>char(4)</td><td></td></tr> <tr> <td>new_proxy_delivery_status</td><td>tinyint</td><td></td></tr> <tr> <td>old_email</td><td>varchar(100)</td><td></td></tr> <tr> <td>new_email</td><td>varchar(100)</td><td></td></tr> </table>	account	char(8)		change_datetime	datetime		old_proxy_access_pin	char(4)		old_proxy_delivery_status	tinyint		new_proxy_access_pin	char(4)		new_proxy_delivery_status	tinyint		old_email	varchar(100)		new_email	varchar(100)		<table> <tr> <td>account</td><td>char(8)</td><td></td></tr> <tr> <td>office_code</td><td>char(3)</td><td></td></tr> <tr> <td>password</td><td>varchar(10)</td><td></td></tr> <tr> <td>email</td><td>varchar(100)</td><td></td></tr> <tr> <td>ssn</td><td>char(9)</td><td></td></tr> <tr> <td>notification_method</td><td>tinyint</td><td></td></tr> <tr> <td>web_access</td><td>bit</td><td></td></tr> <tr> <td>web_trading</td><td>bit</td><td></td></tr> <tr> <td>sell_only</td><td>bit</td><td></td></tr> <tr> <td>invalid_email</td><td>bit</td><td></td></tr> <tr> <td>statements_online</td><td>bit</td><td></td></tr> <tr> <td>session_timeout</td><td>int</td><td></td></tr> <tr> <td>login_fails</td><td>int</td><td></td></tr> <tr> <td>last_access</td><td>datetime</td><td></td></tr> <tr> <td>proxy_delivery_status</td><td>tinyint</td><td></td></tr> <tr> <td>proxy_access_pin</td><td>varchar(4)</td><td></td></tr> <tr> <td>activation_date</td><td>smalldatetime</td><td></td></tr> <tr> <td>activated_by</td><td>varchar(6)</td><td></td></tr> <tr> <td>ivr_pin</td><td>varchar(4)</td><td></td></tr> <tr> <td>day_trader</td><td>bit</td><td></td></tr> <tr> <td>ivr_lockout</td><td>bit</td><td></td></tr> <tr> <td>last_updated</td><td>datetime</td><td></td></tr> <tr> <td>voice_callback</td><td>char(12)</td><td></td></tr> <tr> <td>agreement_status</td><td>char(4)</td><td></td></tr> </table>	account	char(8)		office_code	char(3)		password	varchar(10)		email	varchar(100)		ssn	char(9)		notification_method	tinyint		web_access	bit		web_trading	bit		sell_only	bit		invalid_email	bit		statements_online	bit		session_timeout	int		login_fails	int		last_access	datetime		proxy_delivery_status	tinyint		proxy_access_pin	varchar(4)		activation_date	smalldatetime		activated_by	varchar(6)		ivr_pin	varchar(4)		day_trader	bit		ivr_lockout	bit		last_updated	datetime		voice_callback	char(12)		agreement_status	char(4)	
account parent	char(8)	<pk>																																																																																																												
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old_proxy_access_pin	char(4)																																																																																																													
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ivr_pin	varchar(4)																																																																																																													
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ivr_lockout	bit																																																																																																													
last_updated	datetime																																																																																																													
voice_callback	char(12)																																																																																																													
agreement_status	char(4)																																																																																																													
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note_last_updated	datetime																																																																																																													

Figure 13c

Title: System And Method For The Automated Brokerage
Of Financial Instruments
Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

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profiles_original	
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address_1	varchar(40)
address_2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax_callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	bit
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	int
administrator	int
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
OPRA_agreement_date	smalldatetime
NYSE_agreement	bit
NYSE_agreement_version	varbinary(10)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13d

Title: System And Method For The Automated Brokerage
Of Financial Instruments

Inventor(s): Tully et al.

Appl. No. 10/692,067

Docket # 36194/42366

29 / 62

profiles	
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address_1	varchar(40)
address_2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax_callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	bit
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	int
administrator	int
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
OPRA_agreement_date	smalldatetime
NYSE_agreement	bit
NYSE_agreement_version	varchar(50)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13e

agreement_status_opra_audit	agreement_status_nyse_audit	agreement_status_nasdaq_audit
customer char(8)	customer char(8)	customer char(8)
agreement_id int	agreement_id int	agreement_id int
pro_status tinyint	pro_status tinyint	pro_status tinyint
signed tinyint	signed tinyint	signed tinyint
first_name varchar(50)	first_name varchar(50)	subscriber varchar(100)
last_name varchar(50)	last_name varchar(50)	signature varchar(101)
address1 varchar(50)	address1 varchar(50)	signature_date datetime
address2 varchar(50)	address2 varchar(50)	agent_name varchar(101)
city varchar(50)	city varchar(50)	title varchar(101)
state char(2)	state char(2)	title_other varchar(101)
zip varchar(10)	zip varchar(10)	change_datetime datetime
country varchar(50)	country varchar(50)	action_performed char(1)
birthdate datetime	change_datetime datetime	username varchar(40)
change_datetime datetime	action_performed char(1)	
action_performed char(1)	username varchar(40)	
username varchar(40)	amax_pro_status tinyint	

Figure 13f

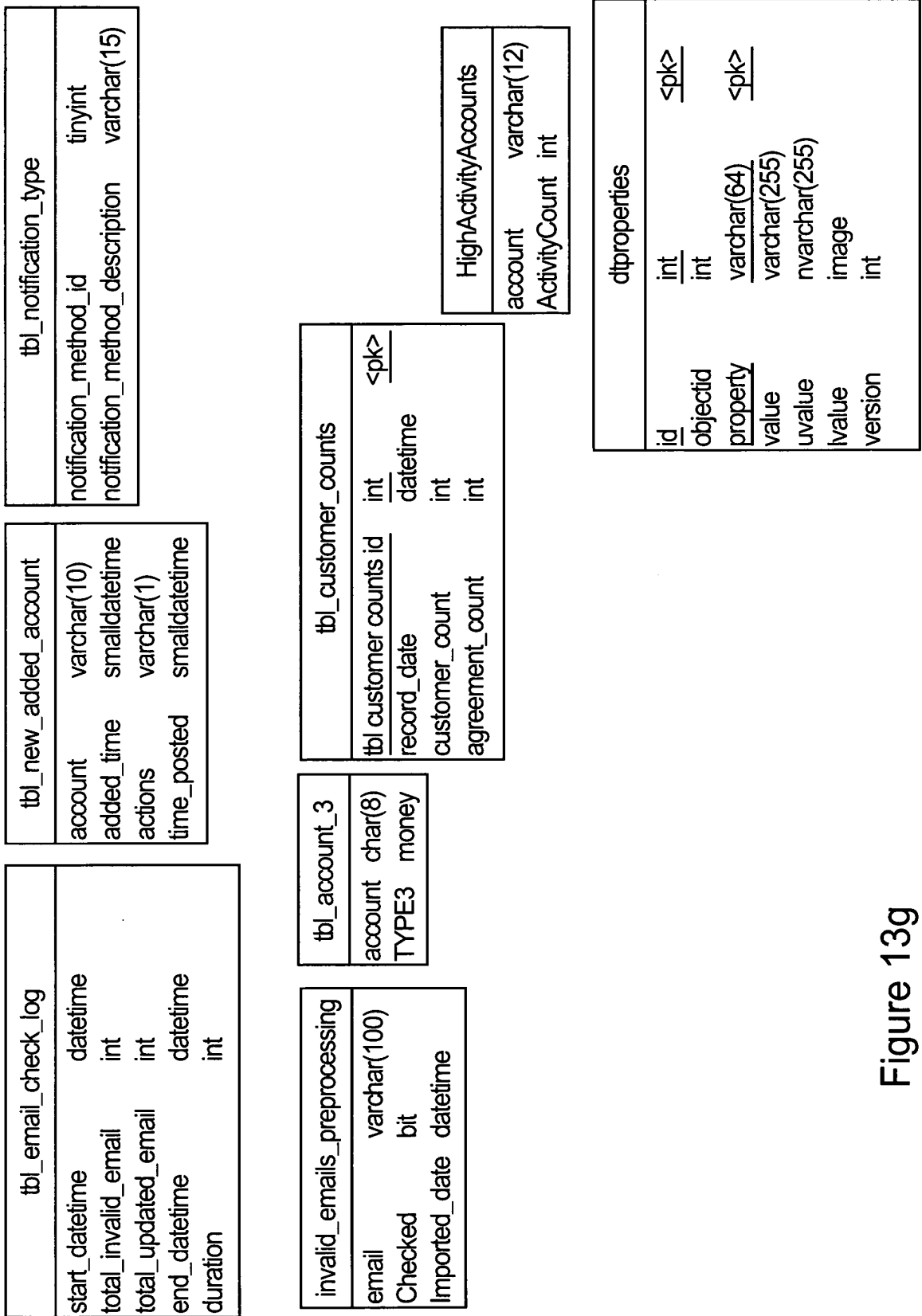


Figure 13g

Title: System And Method For The Automated Brokerage
Of Financial Instruments
Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

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profiles_backup_20021021_2000	
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address_1	varchar(40)
address_2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax_callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	bit
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	int
administrator	int
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
OPRA_agreement_date	smalldatetime
NYSE_agreement	bit
NYSE_agreement_version	varbinary(10)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13h

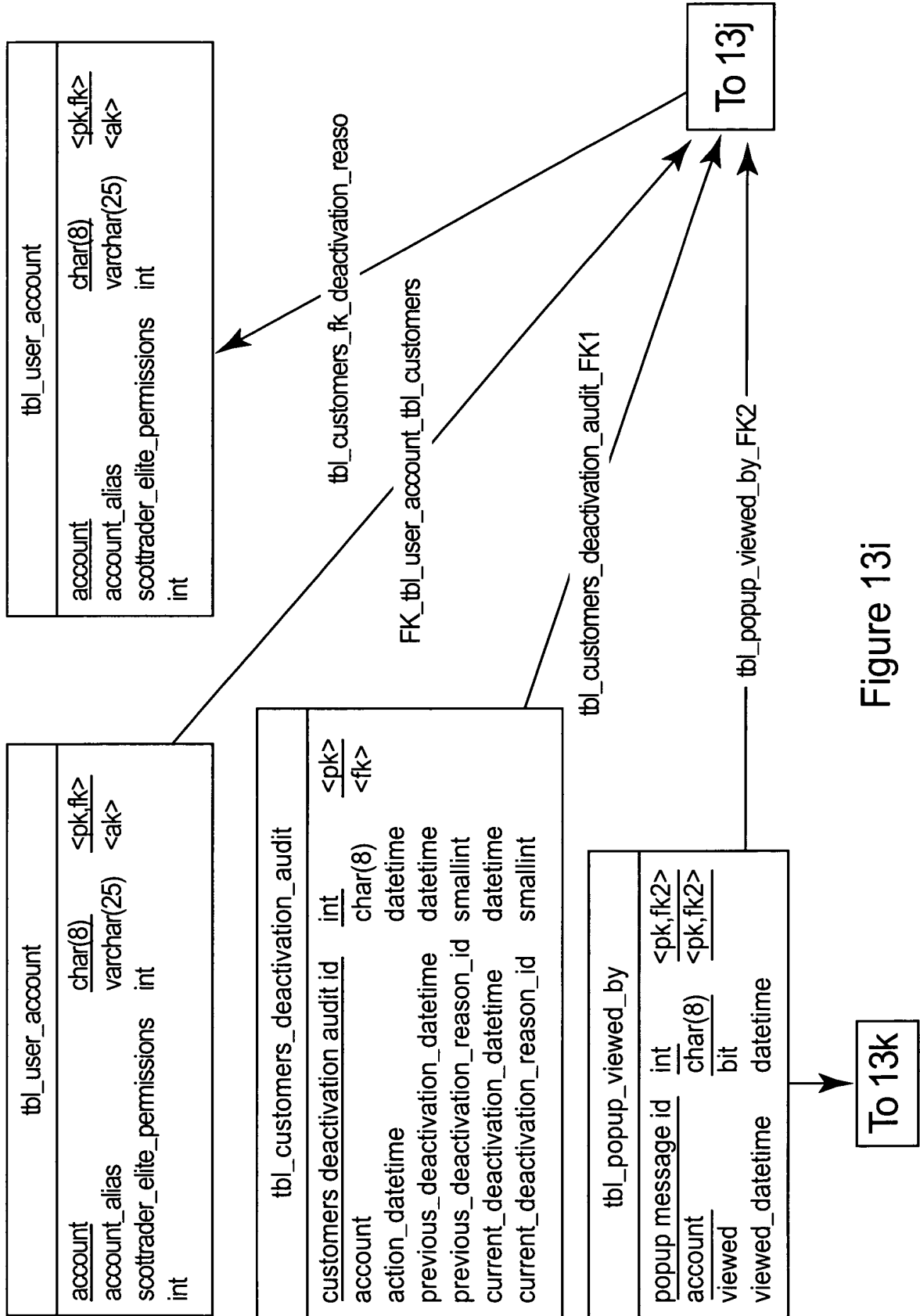


Figure 13i

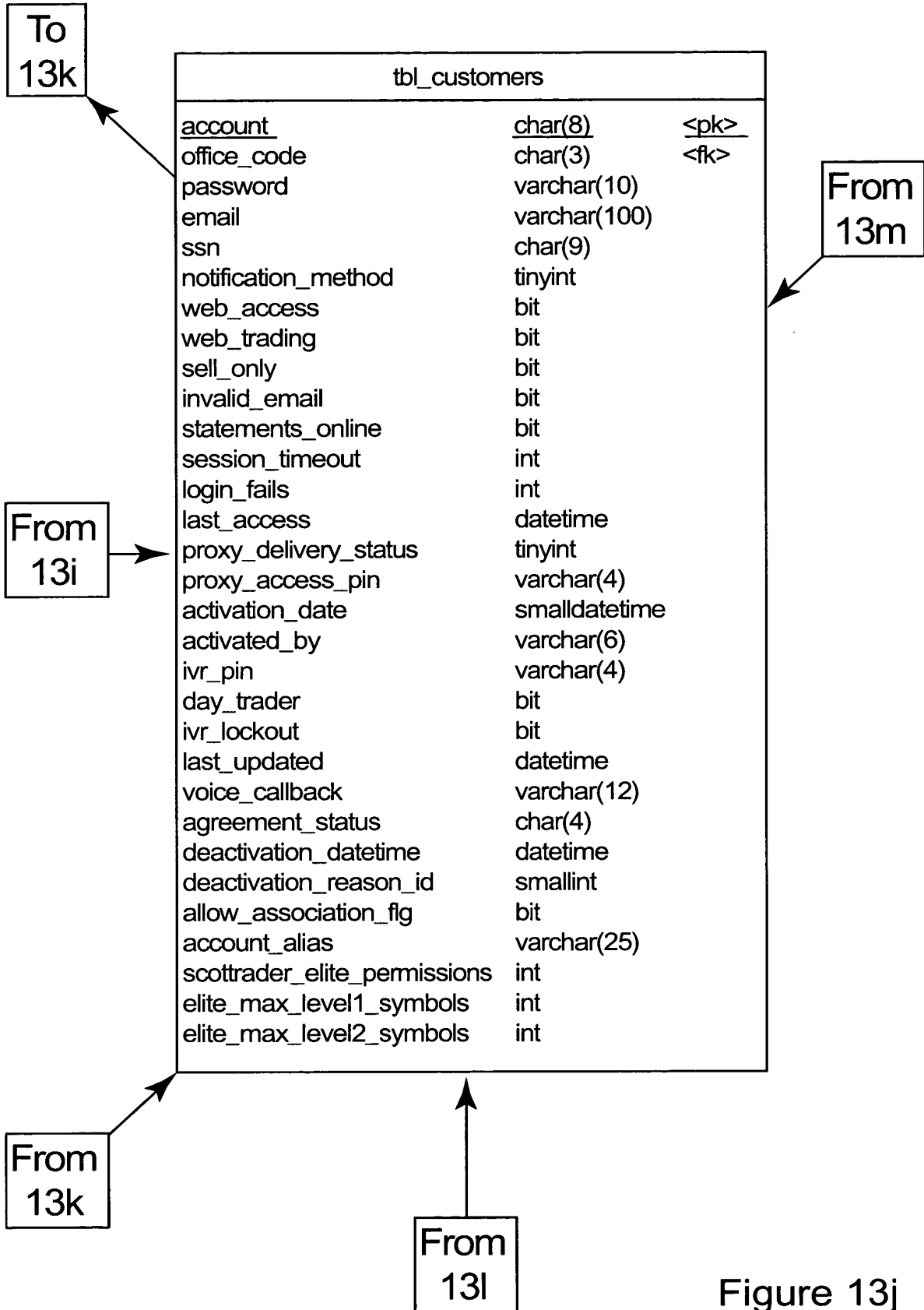


Figure 13j

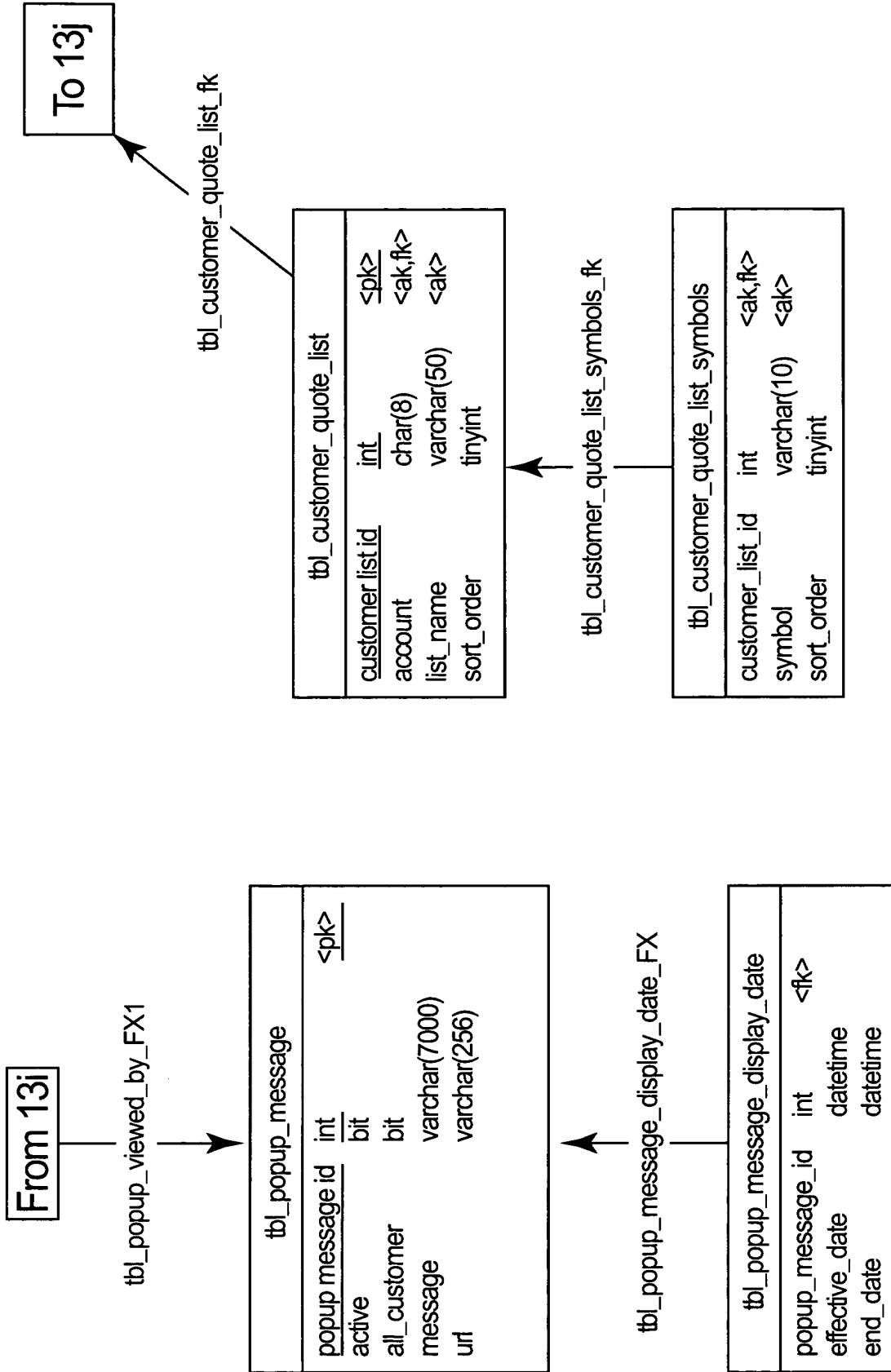


Figure 13k

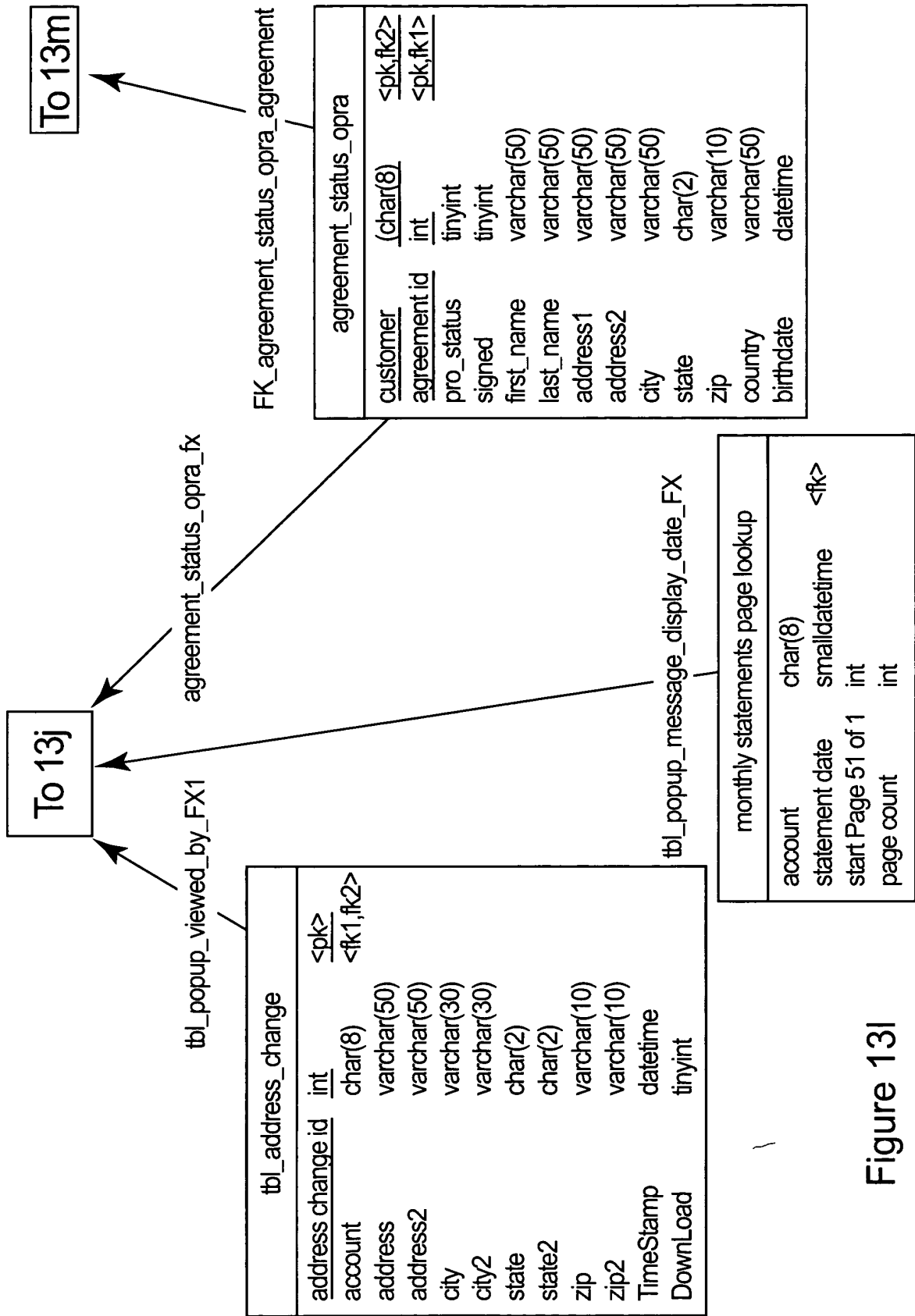


Figure 13l

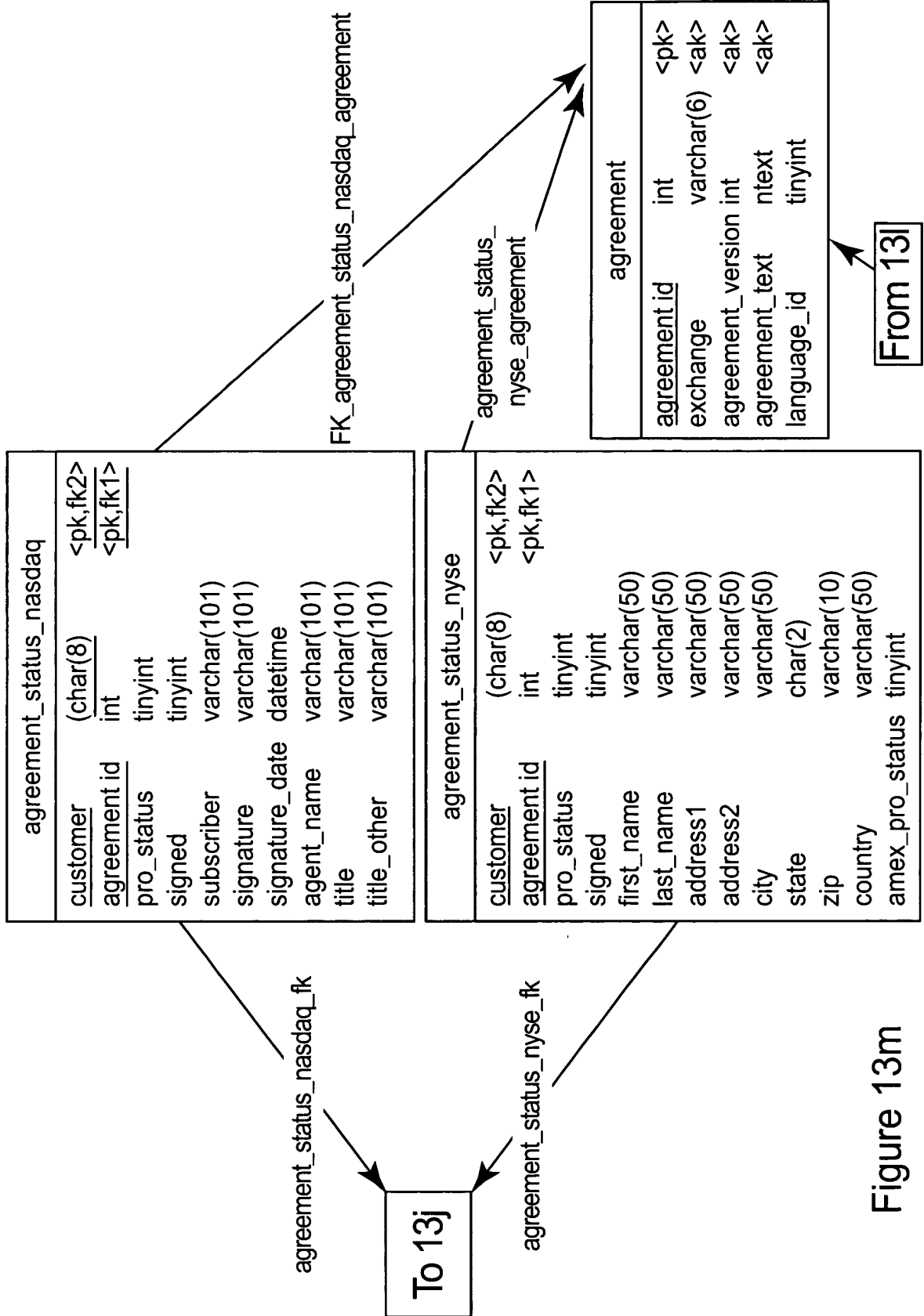
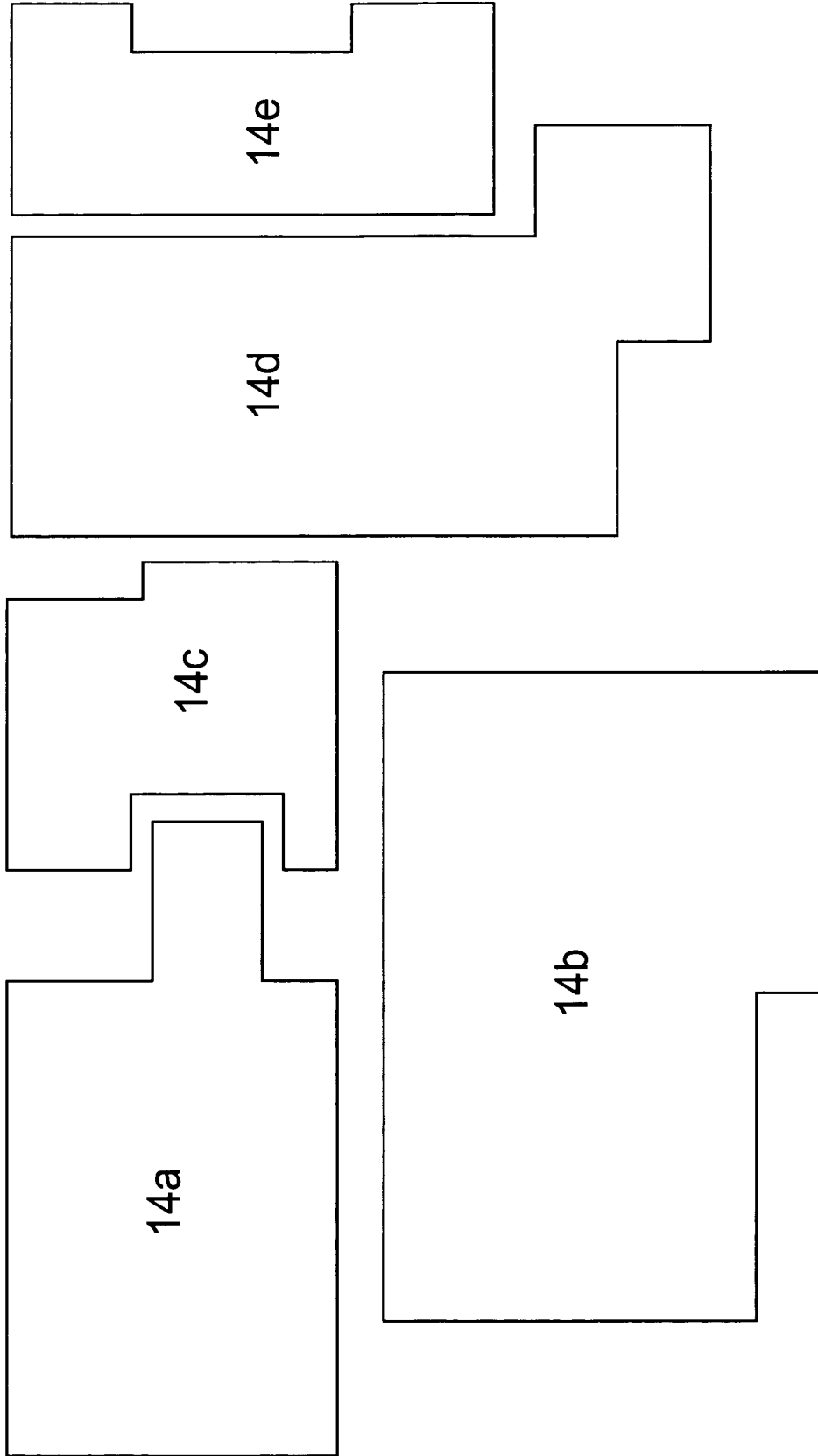


Figure 13m



Orders DB

Figure 14

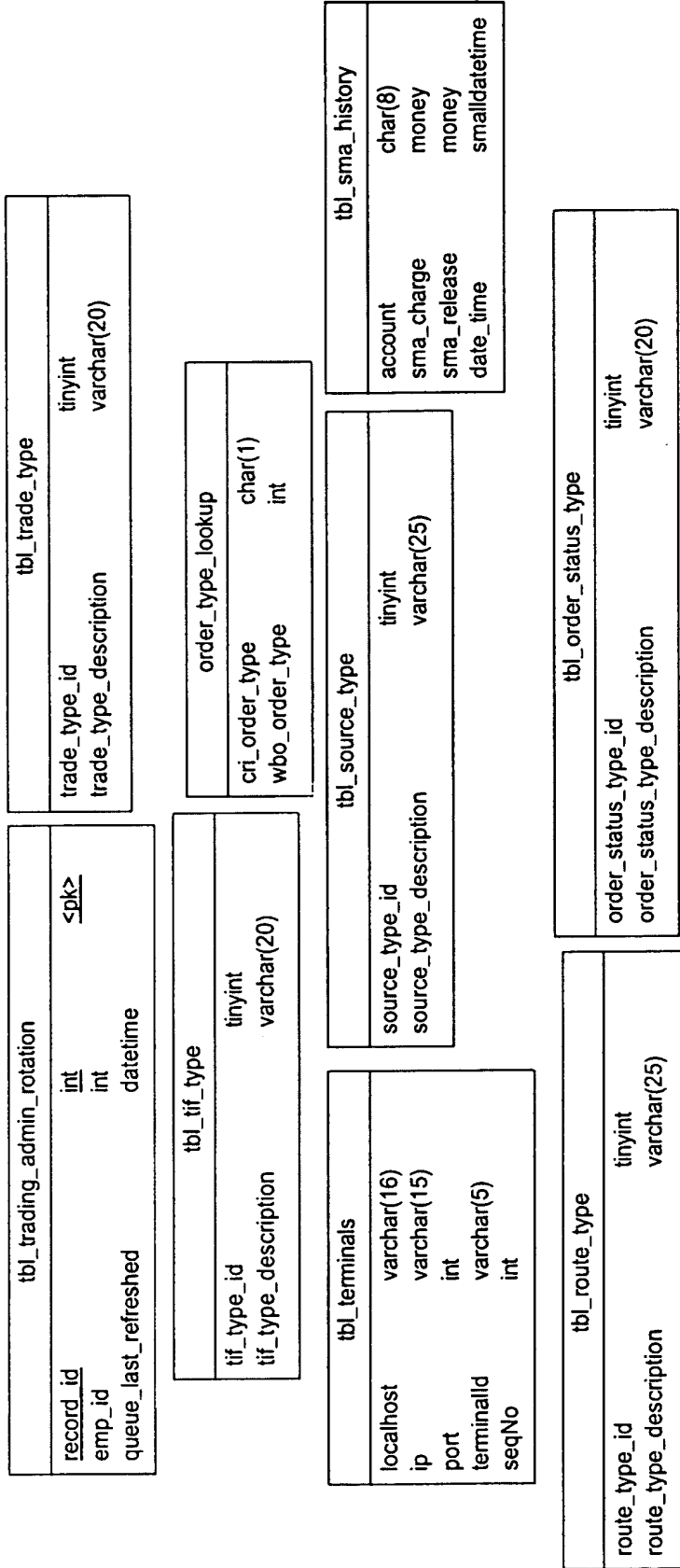


Figure 14a

To Figure 14(d) ← FK_5bl_orders_tbl_action_type

tbl_orders_audit		tbl_orders		
web_tracking_number	varchar(15)	web_tracking_number	char(15)	<pk>
reviewing_broker_id	int	fix_tracking_number	char(15)	
bid	money	orig_web_tracking_number	char(15)	
ask	money	account	char(8)	
net_equity	money	branch_code	char(3)	
amount	money	order_status	tinyint	
open_amount	money	route_type	tinyint	
open_shares	int	account_type	tinyint	
executions	money	order_type	tinyint	
free_cash	money	action_type	tinyint	
buying_power	money	symbol	varchar(12)	<fk>
fed_call	money	quantity	int	
trade_balance	money	quantity_filled	int	
market_value	money	price_type	tinyint	
entry_time	datetime	limit_price	money	
ip_address	varchar(16)	stop_price	money	
localhost	varchar(16)	tif_type	tinyint	
query_string	varchar(255)	trading_session_type	tinyint	
available_buying_power	money	exec_destination	varchar(12)	
positions_shares	int	commission	varchar(10)	
daytrader_execution_amount	money	dhr	bit	
		dni	bit	
		aon	bit	
		ob	bit	
		wi	bit	
		fok	bit	
		referral_program	bit	
		possible_duplicate	bit	
		solicited	bit	
		minimum_quantity	int	
		source_type	tinyint	
		entry_time	datetime	

Figure 14b

tbl_trade_history	
account	char(8)
account_type_id	int
action_id	int
symbol	varchar(30)
quantity	numeric(15,3)
price	numeric(15,3)
trade_date	smalldatetime
settled_date	smalldatetime
trade_number	int
commission	money
principal	money
tax	money
interest	money
fees	money
description	varchar(50)
last_modified	smalldatetime

tbl_order_results	
web_tracking_number	varchar(15)
result_type	tinyint
result_from_type	tinyint
message	varchar(500)
time_stamp	datetime

Figure 14c

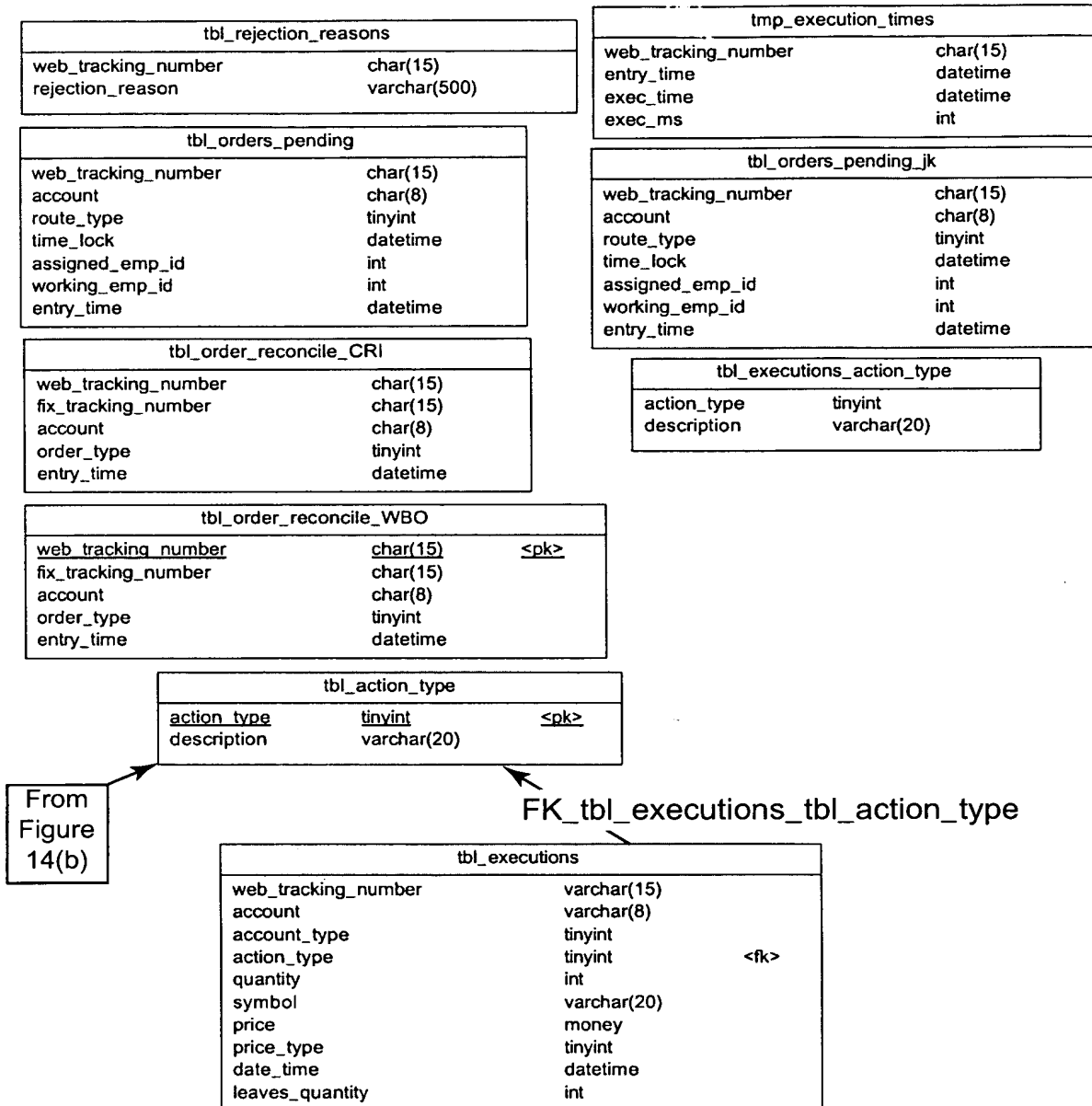


Figure 14d

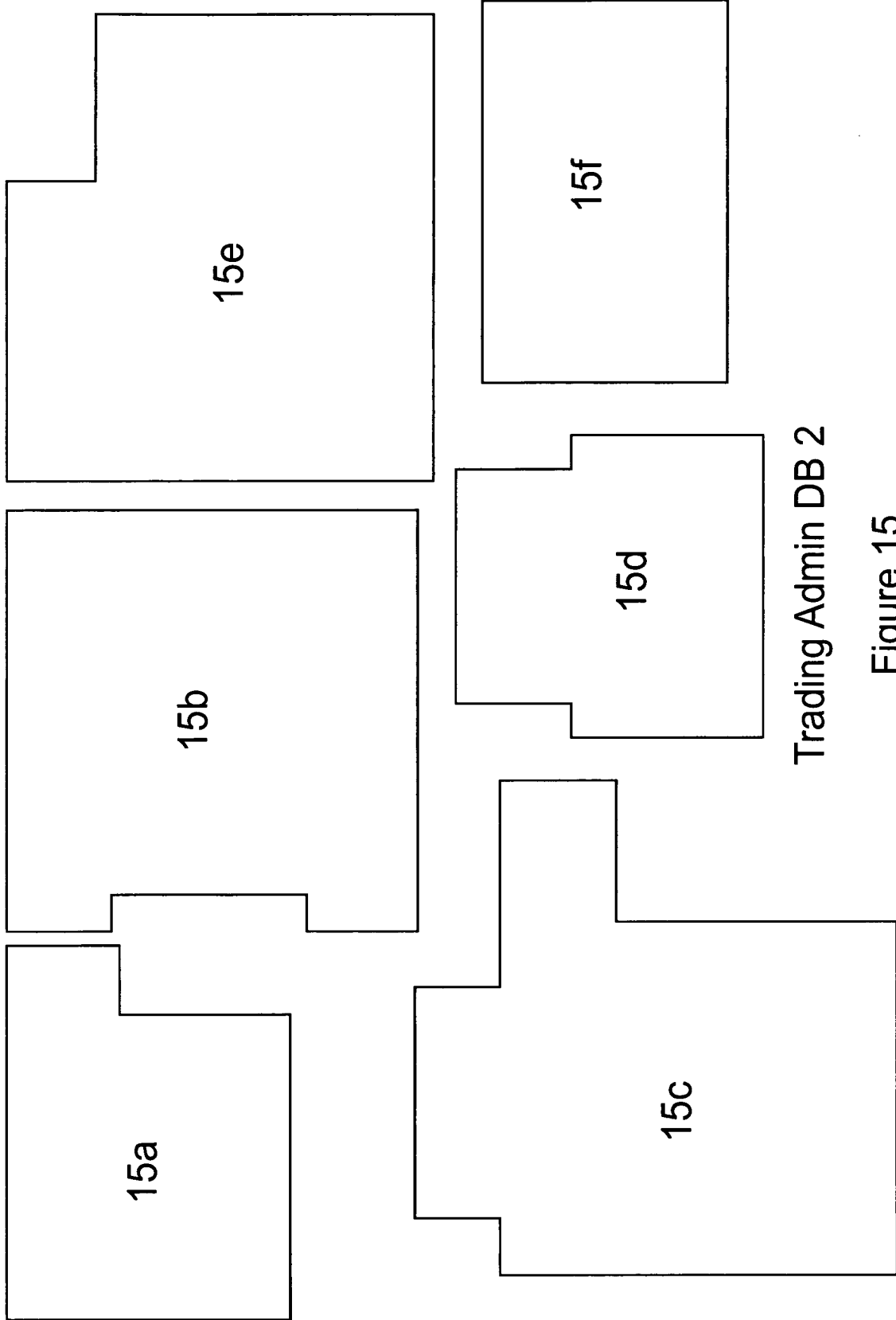
tbl_trading_session_type	
trading_session_type_id	tinyint
trading_session_type_description	varchar(30)

tbl_orders_pending_dr	
web_tracking_number	varchar(15)
account	varchar(8)
route_type	tinyint
time_lock	datetime
locked	bit
assigned_emp_id	smallint
working_emp_id	smallint
entry_time	datetime

ordex_counts	
orders	int
executions	int
ivr_orders	int
ivr_executions	int
ivr_equities	int
ivr_options	int
rpt_date	datetime
executions_filled	int

account_type	
account_type_id	int
account_type_name	varchar(20)

Figure 14e



Trading Admin DB 2

Figure 15

tbl_restrictions_audit	
<u>restrictions_audit_id</u>	<u>int</u>
name	varchar(30)
audit_datetime	datetime
previous_value	varchar(256)
previous_date_changed	datetime
previous_change_by	varchar(30)
new_value	varchar(256)
new_date_changed	datetime
new_change_by	varchar(30)

tbl_restrictions	
name	varchar(30)
value	varchar(256)
data_type	tinyint
date_changed	datetime
changed_by	varchar(30)

tbl_fix_branches	
branch	char(3)
remote_ip	varchar(15)
remote_port	int
local_hostname	varchar(20)
heartbeat_int	int
target_comp_id	varchar(6)
sender_comp_id	varchar(6)
fix_version	varchar(4)
fix_port_type	int
port_status	int

tbl_daily_security_load_staging	
DataColumn	varchar(30)

tbl_daily_security_list	
cusip	char(9)
symbol	varchar(7)
margin_flag	bit
last_known_price	money

Figure 15a

tbl_notification_method_type	
notification_method_type_id	tinyint
notification_method_type_description	varchar(25)

tbl_negative_quantities	
<u>negative_quantities_id</u>	<u>int</u>
account	char(8)
office_code	char(3)
message	varchar(50)
acknowledge	tinyint
date_time	smalldatetime

security_update_from_SQL1	
symbol	varchar(9)
route	tinyint
trade_during_extended_hours	bit
option_chain_disallowed	bit
margin_requirement_percent	tinyint
trading_action_bitmask	tinyint

tbl_short_archive	
<u>shorts_archive_id</u>	<u>int</u>
cusip	char(10)
description	varchar(60)
symbol	varchar(10)
total_shares_available_for_short	int
processed_date	smalldatetime

Figure 15b

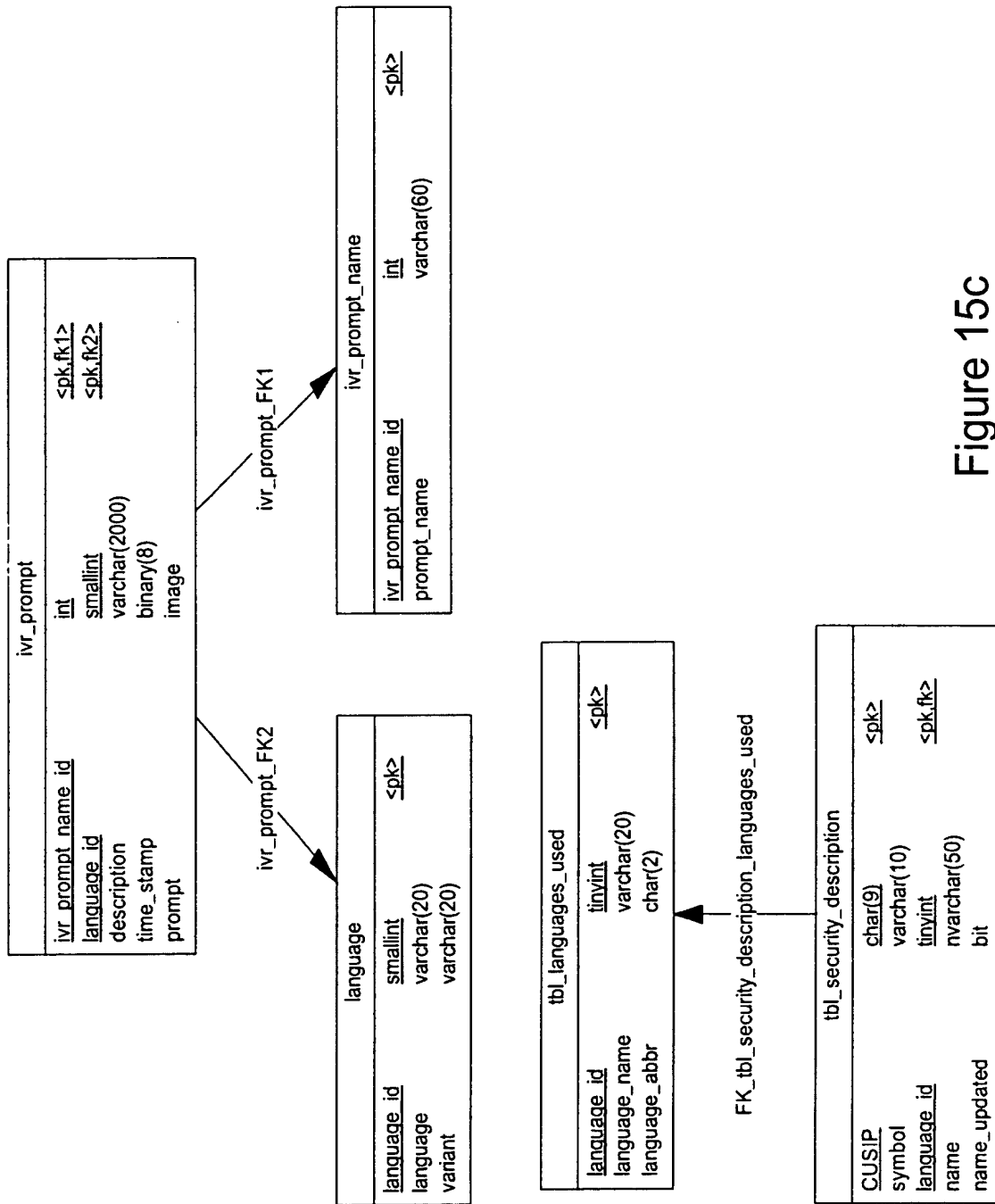


Figure 15c

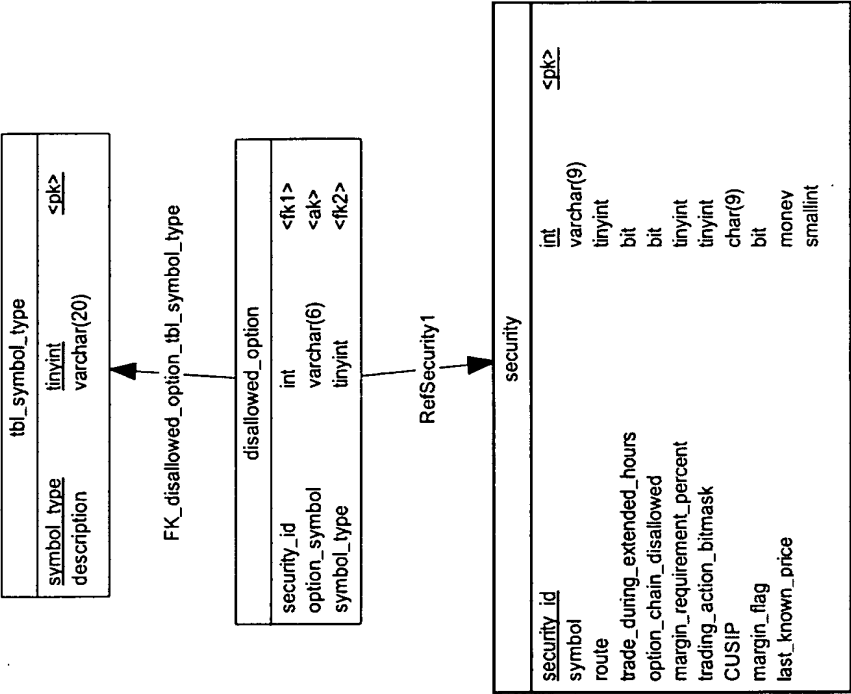


Figure 15d

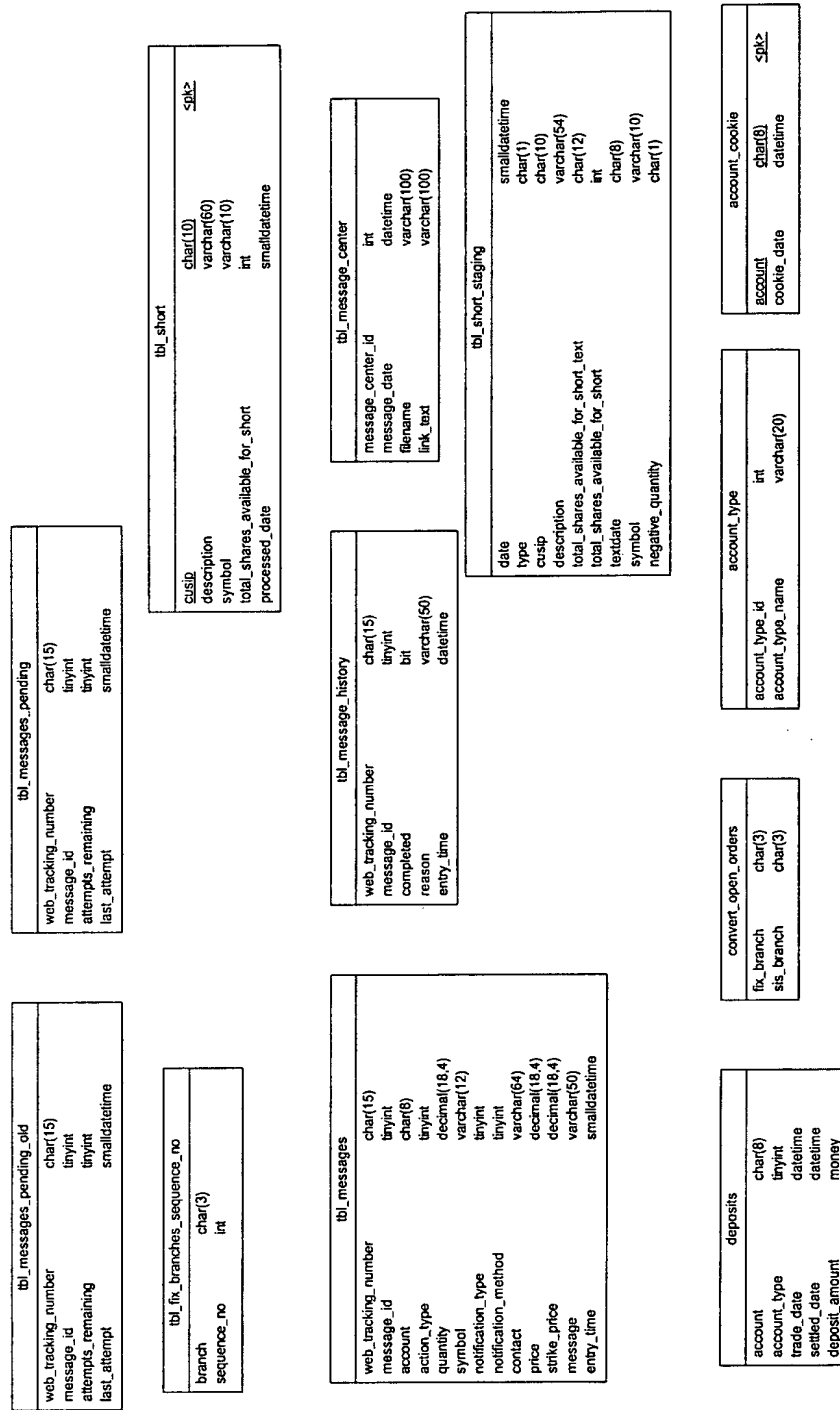


Figure 15e

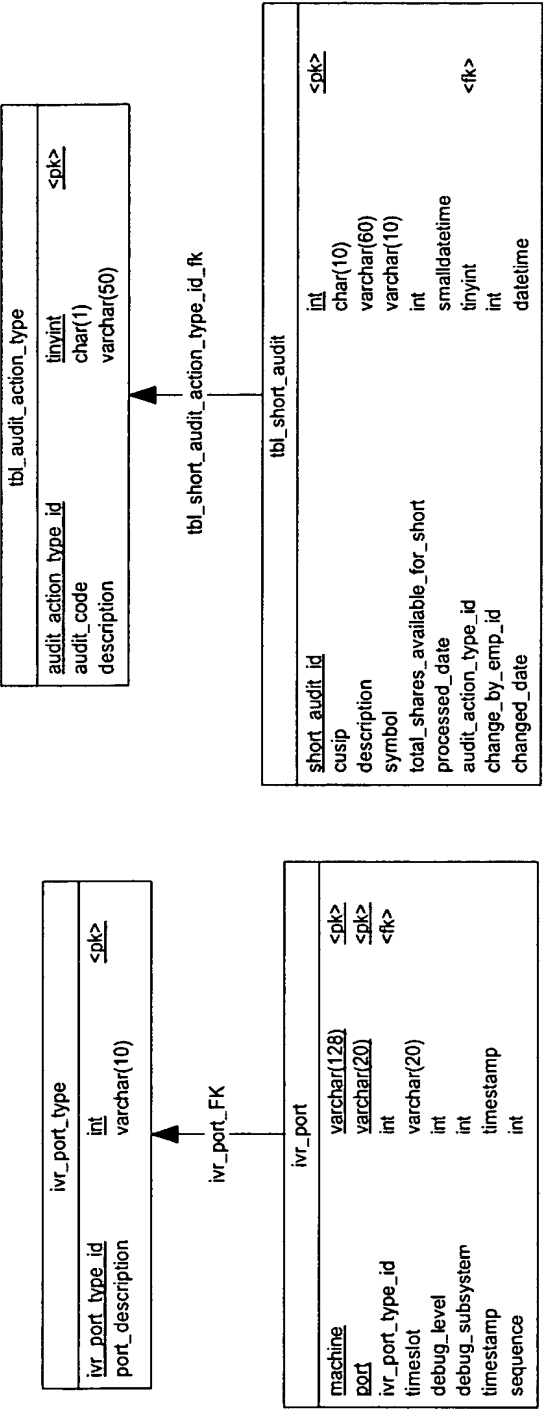


Figure 15f

Do Not Use Browser Back/Forward Buttons

Reason Selection:

Reason Text:

Order Approval

Approve

Reject

Done

Cancel Edit

		Margin Buying Power	Trading Cash
		1,200.00	38,652.00
		-346,064.21	

Account	Status	Route	Order	Action	Quantity	Symbol	Price	TIF	AON	Account Type	Trading Session	Possible Duplicate	Entry Time	Web Tracking Number	Branch
Orig 123xyz	Pending Modify	Fix	New	Sell to Open	120	.QQJJ L015		Day	Yes	Margin	Regular	No	10/14/2003 3:40:27 PM	XQA240320031014-Orig	10D
Mod 123xyz	Sent	Approval	Modify	Sell to Open	120	.QQJJ L01		Day	Yes	Margin	9	No	10/14/2003 3:41:54 PM	PS8815920031014	10D

Results

Web Tracking Number	Result Type	Result From Type	Message	Time Stamp
PS8815920031014	Re-route	Rules	Option Sell Call to Open	10/14/2003 3:41:54 PM

.QQJJ Quote

Market	Last	Change	Size	Bid	Ask	B/A Size	High	Low	Volume	UPC1830	Halted	Fast Market
CBOE	+0.10	-0.05	10	-0.05	0.15	24134 x 31964	0.10	0.05	7,323	No	No	No

Figure 16b

System And Method For The Automated Brokerage
Of Financial Instruments
Tully et al.
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Figure 16c

Trading (jdoe) Admin

☐ Indiv ☐ Group Approval Queue Symbol Admin Option Admin Trading control History

Account: 123xyz		Symbol:		Tracking #:	
*Start Date:	10	13	2003	00	AM
*End Date:	10	14	2003	11	PM
Source: <input checked="" type="checkbox"/> Web <input checked="" type="checkbox"/> IVR <input checked="" type="checkbox"/> Scottrader <input checked="" type="checkbox"/> Scottrader Elite <input checked="" type="checkbox"/> Wireless <input checked="" type="checkbox"/> Approval					
Destination: <input checked="" type="checkbox"/> Fix <input checked="" type="checkbox"/> Manual <input checked="" type="checkbox"/> Approval <input checked="" type="checkbox"/> Queued <input checked="" type="checkbox"/> Rejected					
<div>Trades</div> <div>Messages</div>					

#	Action	Source/Route	Action	Qty	Symbol	Price	TIF	Account	Date	Tracking#	Orig Track#
1	New	Wireless/Fix	Buy	1	EMC	L:5	Day	123xyz	10/14/2003 3:30:00 PM	XGA513220031014	
2	Cancel	Approval/Fix	Buy	1	GE	M	Day	123xyz	10/14/2003 8:47:12 PM	XGA113020031014	XXB328920031013
3	Cancel	Web/Approval	Buy	1	GE	M	Day	123xyz	10/14/2003 8:47:04 PM	PS6855020031014	XXB328920031013
4	New	Web/Fix	Buy	1	GE	M	Day	123xyz	10/13/2003 5:37:38 PM	XXB328920031013	
5	New	Elite/Fix	Buy	1	RTRSY	L:15	Day	123xyz	10/13/2003 5:12:16 PM	XAB736120031013	
6	New	Elite/None	Sell	1	RTRSY	M	Day	123xyz	10/13/2003 5:11:50 PM	ESI282920031013	
7	New	Elite/None	Sell	1	RTRSY	M	Day	123xyz	10/13/2003 5:11:48 PM	ES8631520031013	
8	New	Elite/Fix	Sell	2	MSFT	L:40	Day	123xyz	10/13/2003 5:02:58 PM	XIA242520031013	

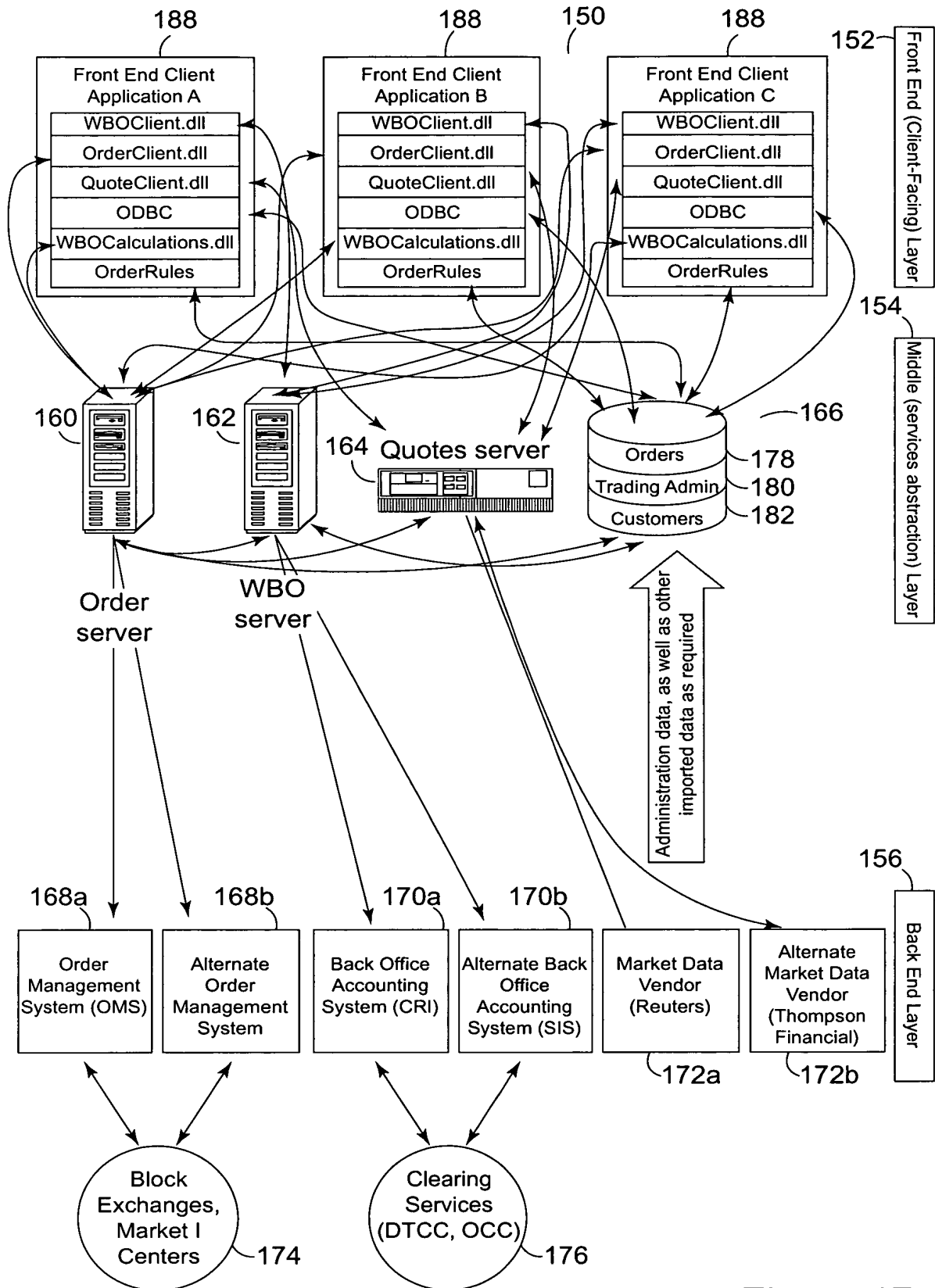


Figure 17

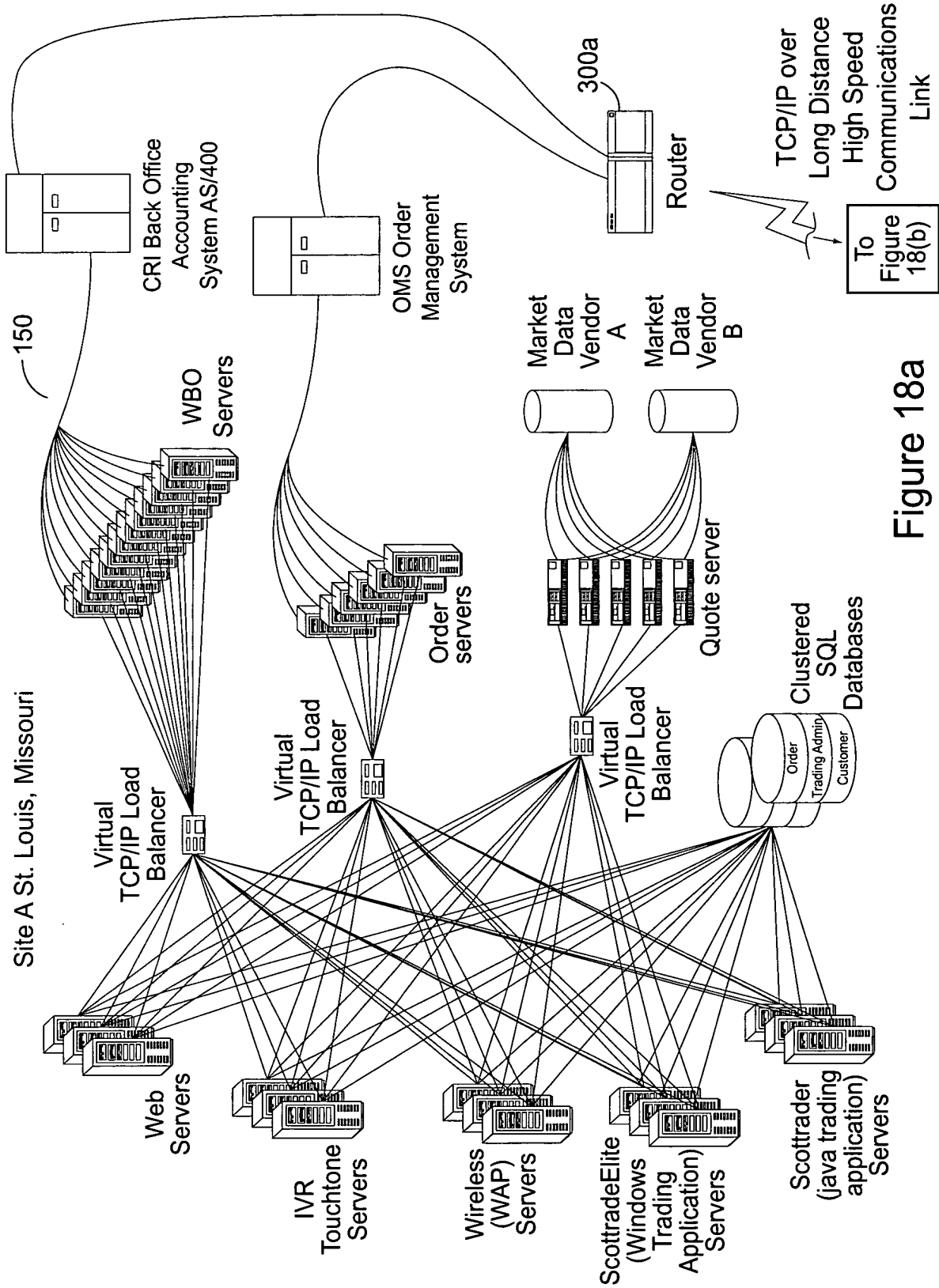


Figure 18a

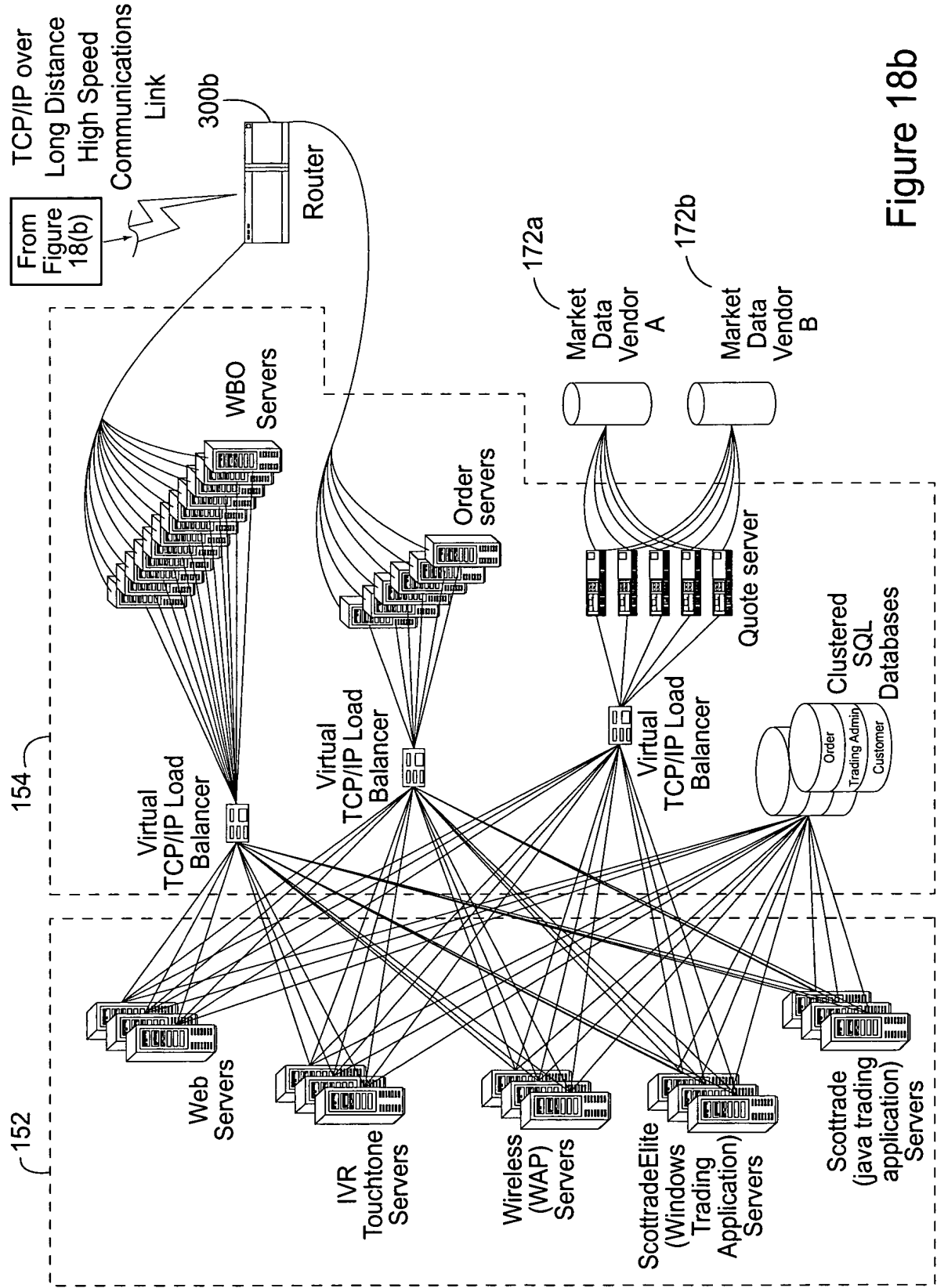


Figure 18b

Title: System And Method For The Automated Brokerage
Of Financial Instruments
Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

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Quote Server	
Setup View Dump Outstanding Requests	
<div>Sources</div> <div> Quote Source: ATFI Level 2 Source: None Fundamentals Source: ATFI News Source: None History Source: ATFI </div>	<div>Stream Connections</div> <div> Connections: 0 Update P/S: 0.00 Symbols: 0 </div>
<div>Cache</div> <div> Cache Size: 0 Historical Cache Size: 0 Cache Hits: 0% Historical Cache Hits: 0% </div>	<div>Threads</div> <div> Request Handler Idle Time: 100% Update Handler Idle Time: 34% Stream Handler Idle Time: 23% History Updater Idle Time: 100% ATFI Request Handler Idle: 100% </div>
<div>Updates</div> <div> Tick: 163266 Quote: 1200179 Movers: 1580 Level 2: 0 Refresh: 24256 News Static Equity: 540654 Options: 816789 Index: 30175 Mutual Fund: 0 Money Market: 0 Fixed Income: 0 Bonds: 84 Other: 1580 Updates Per Second: 4070.00 </div>	<div>I/O</div> <div> Incoming Bytes: 0.0 kb Outgoing Bytes: 0.0 kb Average Response Size: 56 bytes Average Time 0 ms </div>
	<div>Server</div> <div> CPU: 22% Available Memory: 84 mb Connections: 10 Outstanding Requests: 0 Total Requests: 50 Historical Requests: 0 Round Trips: 0 Requests Per Second: 0.00 </div>
	<div>Unhandled Updates</div> <div> Cache Updates: 115 Stream Updates: 31 Historic Updates: 0 </div>

Figure 19a

Title: System And Method For The Automated Brokerage
Of Financial Instruments
Inventor(s): Tully et al.
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Configure

Quote Source: ☒ Cache ☒ Cache Movers

Level2 Source:

Fundamentals Source:

News Source:

History Source: ☒ Cache

General

Request Handler Threads:

Update Handler Threads:

Stream Update Threads:

History Update Threads:

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: MDS Connections:

Request Handler Threads: DBM Connections:

General

Socket Source:

Max connections:

General

Ip:

Figure 19b

Configure

Quote Source: Restart ☒ Cache ☒ Cache Movers

Level2 Source: Restart

Fundamentals Source: Restart
 Restart
 Restart
News Source: Restart

History Source: Restart ☒ Cache

General

Request Handler Threads: + -

Update Handler Threads: + -

Stream Update Threads: + -

History Update Threads: + -

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: Apply MDS Connections:

Request Handler Threads: + - DBM Connections: +

General

Socket Source: Stop Restart

Max connections: Drop All

General

Ip:

OK Cancel

Figure 19c

Title: System And Method For The Automated Brokerage
Of Financial Instruments
Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

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Configure

Quote Source: Restart ☒ Cache ☒ Cache Movers

Level2 Source: Restart

Fundamentals Source: Restart

News Source: Restart

History Source: Restart ☒ Cache

General

Request Handler Threads: + -

Update Handler Threads: + -

Stream Update Threads: + -

History Update Threads: + -

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: Apply MDS Connections:

Request Handler Threads: + - DBM Connections: +

General

Socket Source: Stop Restart

Max connections: Drop All

General

Ip:

OK Cancel

Figure 19d

Configure

Quote Source: Restart ☒ Cache ☒ Cache Movers

Level2 Source: Restart

Fundamentals Source: Restart

News Source: Restart

History Source: Restart ☒ Cache

General

Request Handler Threads: + -

Update Handler Threads: + -

Stream Update Threads: + -

History Update Threads: + -

Security Cache Expiration: Option Chain Expiration:

Movers Cache Expiration: Company Data Expiration:

ATFI

Ip: Apply MDS Connections:

Request Handler Threads: + - DBM Connections: +

General

Socket Source: Stop Restart

Max connections: Drop All

General

Ip:

OK Cancel

Figure 19e

Title: System And Method For The Automated Brokerage
Of Financial Instruments
Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

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Configure

Quote Source:

ATFI

Restart

☒ Cache ☒ Cache Movers

Level2 Source:

None

Restart

Fundamentals Source:

ATFI

Restart

News Source:

None

Restart

History Source:

ATFI

Restart

☒ Cache

General

Request Handler Thrs

Bridge

None

+

-

Update Handler Threads:

20

+

-

Stream Update Threads:

20

+

-

History Update Threads:

10

+

-

Security Cache Expiration:

3600

Option Chain Expiration:

3600

Movers Cache Expiration:

30

Company Data Expiration:

1800

ATFI

Ip:

ATF15

Apply

MDS Connections:

1

Request Handler Threads:

12

+

-

DBM Connections:

11

+

General

Socket Source:

Async

Stop

Restart

Max connections:

100

Drop All

General

Ip:

OK

Cancel

Figure 19f